



جامعة عجمان
AJMAN UNIVERSITY

POLICIES AND PROCEDURES MANUAL 2022-2023



TABLE OF CONTENTS

1. Governance and Management	6
AU Mission, Vision and Values	7
Board of Trustees Policy.....	9
Board of Trustees Conflict of Interest Policy	16
AU Organization Chart Approved by the Board of Trustees on 13th October 2022	18
University Cabinet.....	19
Standing Committees	21
Policy on College and Department Councils.....	34
Institutional Planning Policy.....	38
Operations Risk Management Policy	41
Policy on Policies	48
2. Quality Assurance	55
Quality Assurance Policy	56
Policy on Adoption of Accrediting Agencies Policies and Procedures.....	63
Policy and Procedure on Surveys	64
Institutional Documents Revision, Approval and Archiving Policy.....	68
3. Educational Programs.....	70
Academic Program Development and Revision Policy	71
Substantive Change Policy	74
Collective Ownership of Curriculum	77
Program Specification Policy	79
General Education Policy	81
Undergraduate Completion Policy.....	84
Graduate Completion Policy	87
Policy on Double Major, Major/Minor and Second Degree	90
Teach-Out Policy	92
Advance Standing and Prior Learning Assessment and Recognition (PLAR) Policy	94
Credit Hour Policy	96
Dual Credit Program Policy	97
Teaching and Learning Policy	98
Internship Policy.....	102
E-learning Policy	106
Academic Progress Policy.....	111
Grading and Assessment Policy.....	120
Policy on Assessment Turnaround Time and Feedback to Students.....	124
Grade Entry Policy	125
Policy on Double Marking and Moderation	127
Independent Study Policy	128
Class Size Policy	129
Minimum Class Size Policy	131
Academic Probation Policy	132

Course File Policy	135
Course Syllabus Policy	136
Course Substitution Policy	138
Intensive Modes of Course Delivery Policy	139

4. Research and Scholarly Activities 140

DRGS Research Strategy	141
Research Ethics Policy	147
AU Funded Research Grants Policy	156
Research Travel Grants Policy	163
External Research Grants Policy	167
Research Centers Policy	170
Full Time Research Associates	174
Research Release Time Policy	177
Visiting Research Scholar Policy	179
AU Research Publications Reward Policy	182
AU Authorship Policy	186
Research Article Publication Fee Policy	189
Research Conferences Policy	192
Graduate Assistant (GA) Policy	196
Thesis and Dissertation Support Policy	200
Graduate Faculty Thesis/Dissertation Load Policy	202

5. Faculty and Professional Staff 203

Faculty and Professional Staff Role Policy	204
Employment Policy	207
Faculty and Professional Staff Employment Legal Issues Policy	213
Faculty Development Policy	215
Faculty Exchange and Sabbatical Leave Policy	218
Course Buyout Policy	226
Faculty Performance Evaluation Policy	228
Adjunct Faculty Performance Evaluation Policy	266
College Dean Performance Policy	270
Faculty Promotion Policy	277
Staff Training and Development Policy	291
Staff Performance Appraisal Policy	300
Staff Promotion Policy	314
Personnel Policy	319
Faculty Workload Policy	321
Professional Requirements for Teaching Policy	324
Compensation Policy	326
Non-Discrimination Policy	330
Conflict of Interest Policy	332
Faculty Disciplinary Policy	335
Staff Disciplinary Policy	340
Academic Freedom Policy	345



AU Employee Code of Conduct Policy	347
Virtual Meetings Policy.....	355
Policy on Diversity and Inclusion	358
Faculty Grievance and Appeal Policy	359

6. Students..... 363

Undergraduate Admission Policy	364
Graduate Admission Policy	386
Transfer Admission Policy	394
People of Determination Policy.....	399
Scholarships and Discounts Policy	403
Student Study Mode and Load Policy.....	410
Academic Advising Policy	411
Student Disciplinary and Academic Integrity Policy.....	416
Student Grade Appeal Policy	429
Student Activity Policy.....	431
Student and Alumni Travel Policy	436
Student Rights and Responsibilities Policy.....	444
Counseling Policy	447
Student Complaints Policy	451
Student Wellbeing and Safety Policy	453
Policy on Raising Concerns of Safety	459
Student Safeguarding Policy	461
Student Athlete Class Attendance Policy	465
Student Finance Policy	466
Student Records Policy.....	469
Student Information Release Policy.....	475
Degree Audit and Graduation Policy	477
Career and Placement Services Policy.....	479
Student Success Center Policy.....	481
Student Operated Media Policy	487
Student Teaching and Administrative Assistants Policy	488

7. Health, Safety and Environment..... 492

Environmental Health and Safety Policy	493
Smoking Policy.....	495
Hostel Policy	499
Health Services Policy.....	507
Hazardous Waste Disposal Policy.....	510
Information Technology Policy.....	514

8. Learning Resource Center..... 533

Library Policy.....	534

9. Fiscal Resources, Financial Management and Budgeting	545
Financial Policy	546
Cash Management Policy.....	552
Procurement and Stores Policy and Procedures.....	555
Budget Policy	577
Policy on Faculty Members Participation in Planning and Budgeting	583
Auxiliary Enterprise Policy.....	586
External Audit Policy.....	592
Financial Guarantee Policy.....	595
Sustainable Investment Policy.....	598
Vehicle Acquisition Policy.....	603
10. Legal Compliance and Public Disclosure.....	606
Transparency and Institutional Integrity Policy Statement	607
Intellectual Property Policy	608
Publications Policy	613
Communications and Social Media Policy.....	615
Policy on Responding to Requests for University Information.....	619
Cooperative Agreements and Contractual Relationships Policy	622
Privacy Policy	625
AU Fundraising Policy and Guidelines	627
11. Community Engagement	634
Community Engagement Policy	635
Employees Volunteering Policy	638
Lifelong Learning Access Policy	640
College Advisory Boards Policy.....	641
Honorary Doctorate Degree Policy	644
PPM Amendments Record	647
Board of Trustees Approval.....	651

1. Governance and Management



جامعة عجمان
AJMAN UNIVERSITY

AU Mission, Vision and Values

Mission Statement

Ajman University (AU) is a multicultural 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 a learner-centric development journey, quality education, hands-on experience, research and community engagement. AU develops well-rounded, career-ready graduates who are professionally competent, socially responsible, innovative and active contributors to the 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 for its cutting-edge learning environment, innovative career support, impactful research, 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 is committed to diversity, equity, and inclusion.
- **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.

AU Goals and Objectives

AU strive to achieve the following goals:

1. **Strengthen academic excellence in line with int'l standards & market requirements**
 - 1.1. Advance teaching and learning excellence
 - 1.2. Align academic programs to market needs
 - 1.3. Expand lifelong learning programs/ opportunities
2. **Enhance research quality and impact**
 - 2.1. Promote faculty and students involvement in research
 - 2.2. Increase external research partnerships and funding
 - 2.3. Strengthen research infrastructure and resources
3. **Build a career-making, student-centric development journey**
 - 3.1. Build a comprehensive professional advising & career development program
 - 3.2. Improve students' digital experience
 - 3.3. Ensure public and private employers are actively involved
 - 3.4. Strengthen soft skills and experiential learning in the development journey



4. Strengthen meaningful relationships with external communities

- 4.1. Develop a more active alumni community
- 4.2. Further impactful academic partnerships
- 4.3. Foster social responsibility and community engagement

5. Recruit and retain diverse and brilliant students

- 5.1. Improve student recruitment strategies
- 5.2. Diversify the student body
- 5.3. Recruit outstanding students
- 5.4. Improve student retention

6. Enhance institution sustainability

- 6.1. Ensure financial sustainability
- 6.2. Nurture good governance principles
- 6.3. Promote operational excellence

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
V3.0	10/05/2022	New AU Mission, Vision, Goals and Objectives (2022-2027	Chancellor/BOT

Board of Trustees Policy

Policy Owner	Chancellor	Responsible Office	Office of the Chancellor
Approved By	Board of Trustees	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Statement

The AU Board of Trustees shall fully oversee the University's work and activities as well as its academic, administrative, financial and technical affairs.

Policy

Composition of the Board

1. The Board of Trustees shall be formed for (4) years by an Emiree Decree issued by the Ruler of Ajman, and will continue to perform its duties in the absence of a new decree at the end of its term until it is reconstituted.
2. The Board of Trustees shall be comprised of a Chair, a Vice-Chair and at least five members, excluding *ex officio* members, who have relevant academic qualifications and experience, and hold a prestigious social status. The members represent the broader UAE community with a range of expertise, including academic expertise.
3. The number of Board members having any financial interest in the University shall not exceed one-third of the Board members.
4. By an Emiree decree issued by the Ruler, the Board members shall be appointed, terminated or replaced until the end of the Board of Trustees term.
5. The Chair, Vice-Chair and members of the Board of Trustees do not receive any financial compensation from the University for their membership in the Board of Trustees.
6. The Board of Trustees can form an Executive Committee comprised of its members to consider and decide on urgent issues that cannot be postponed until the meeting of the full Board of Trustees.

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 the University Chancellor, evaluating his performance, terminating his contract, and accepting his resignation at any time.
2. Adopting the University's policies.
3. Approving the University's Board Bylaws.

4. Approving and periodically reviewing the institution's mission and vision statements.
5. Adopting the University's strategic and annual development and operation plans, and monitoring their implementation and evaluation following their adoption.
6. Adopting criteria for selecting and appointing faculty members at the University, and evaluating their performance, promotion, and disciplinary accountability.
7. Adopting the human resources regulations for non-faculty staff.
8. Discussing the self-assessment reports submitted by the Chancellor periodically for quality control.
9. Evaluating the University's performance that covers all academic, administrative, financial and technical aspects.
10. Approving, integrating or eliminating academic majors and programs for each degree awarded by the University.
11. Approving the University's academic and professional degrees.
12. Adopting policies, regulations and requirements for students' admission, as well as rules and procedures for their academic progress, dismissal, re-enrolment and graduation.
13. Adopting the study, the examination and the evaluation systems for each academic program.
14. Adopting procedures and systems for the academic programs offered off-campus or through atypical teaching methods.
15. Adopting tuition fees for all the majors.
16. Approving the admission suspension to certain majors in accordance with accreditation and quality control standards, based on the Chancellor's recommendation.
17. Adopting the University's organizational structure as well as its financial, administrative, academic and technical rules, regulations and policies.
18. Adopting standards for accepting donations, grants and assistance to the University, and sponsoring its activities, in accordance with the UAE legislation.
19. Adopting the University's annual draft budget and its annual final draft account.
20. Adopting standards, controls and rules for investing University funds.
21. Appointing the University's external auditor and adopting the report that s/he submits.
22. Adopting the annual report on the work and achievements of the University.
23. Deciding on any other matters that the Chair or the Chancellor refer to the Board of Trustees.
24. Enlisting experienced and competent professionals to provide a report or advice on any matter.
25. Securing financial resources to support the University's goals adequately.
26. Forming sub-committees and determining their functions and powers.
27. Delegating any of its powers to the Chair or the Executive Committee, provided that the delegation is written, time-bound and objective.
28. Evaluating its own effectiveness and using that evaluation for improvement.

Authorities of the Chair of the Board

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

1. Chair the Board of Trustees and manage its meetings, and issue all decisions and recommendations adopted by the Board of Trustees.
2. Oversee the implementation of the University's policies as well as its strategic, development and operation plans, following their adoption.
3. Represent the Board of Trustees in international, regional and local meetings.
4. Provide guidance on cooperation agreements and memorandums of understanding with universities, institutes and academies in the UAE and abroad.
5. Issue all academic, administrative and financial rules and regulations, and the organizational structure of the University, following their adoption by the Board of Trustees.

Delegating the Authorities of the Chair

The Chair may delegate any of his above-mentioned powers to the Vice Chair, or to any other member of the Board of Trustees, provided that the delegation is written, time-bound and objective.

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. 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 the authorities mentioned in "Authorities of the Vice Chair of the Board", provided that the delegation is written, time-bound and objective.

Duties of the Secretary of the Board

The Secretary of the Board of Trustees is appointed by the Chair. S/he shall be one of the administrative employees of the University, and 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. 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. The Board of Trustees shall meet at the invitation of the Chair, or in his absence, the Vice Chair, at least once every (6) months, or whenever needed. The meeting of the Board of Trustees shall be valid in the presence of the majority of its members, including the Chair or the Vice Chair.
2. The invitation and agenda of the meeting shall be sent to the Trustees at least fourteen days in advance.
3. The Board of Trustees may, in special cases determined by the Chair and for reasons to be recorded in writing, may pass decisions.
4. Members of the Board of Trustees may participate in the Board meetings through appropriate means of communication, and this shall be duly recorded in the minutes of meeting.
5. 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.
6. 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 by the Secretary.

Decisions of the Board

The decisions of the Board shall be passed by a majority of the votes of the members present in the meeting. In case the votes are equally divided, the side which the President of the meeting supports shall prevail. The decisions and recommendations shall be recorded in minutes signed by the President of the meeting and the Secretary.

Proposals for Decisions

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

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 an Amiri Decree.
2. A Trustee may be removed from the Board by a recommendation of the Board and approval of the Ruler of Ajman.

Committees

The Board shall form the following standing committees, and may, whenever necessary, establish other ad-hoc committees. No one member shall be Chair of multiple committees. The financial sustainability and audit committees shall be separate and distinct. Board committees can include one or two non-voting members who are not members of the Board but have expertise in specific areas. They can be from within or outside the University.

Membership

Each Committee shall consist of at least three members of the Board of Trustees. The Committee shall be convened on invitation by the Chair of the Committee.

Quorum and Decisions

A quorum for the conduct of business of each Committee shall consist of at least half the Committee members along with the Chair attending.

The decisions of the Committees shall be passed by a majority of the votes of the members present in the meeting. In case the votes are equally divided, the side which the President of the meeting supports shall prevail. The decisions and recommendations shall be recorded in minutes signed by the Chair and the Secretary.

Executive Committee

Duties and Responsibilities

The Executive Committee is established to carry out urgent affairs of the Board of Trustees during intervals between Board meetings, as necessary. The committee can also provide support and counsel to the Board of Trustees in implementing its decisions and overseeing the various operations in the University. It shall have the immediate management of the urgent affairs of the University between the meetings of the Board. The Committee shall be chaired by the Vice Chair of the Board.

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.

Committee for Financial Sustainability

Duties and Responsibilities

The Committee for Financial Sustainability shall oversee the University's short-term and long-term financial affairs. It shall also support the University in its fundraising efforts.

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 University policies for financial affairs and recommending their approval.
3. Recommending to the Board of Trustees on matters pertaining to finance, business, human resources, etc.
4. Collecting sufficient funds for the enhancement of the quality of the University activities that are not included in the budget.
5. Providing consultancy regarding endowments, the planning of long-term investments, and risk evaluation.
6. Providing a balanced investment frame for endowment targets and market investment opportunities.
7. Monitoring investment performance and measuring investment targets.

Committee for Financial Audit

Duties and Responsibilities

The Committee for Financial Audit is in charge of overseeing financial reporting, review and approval of accounting and risk management policies, oversight of external auditors, and regulatory compliance.

The Committee shall undertake the following duties and responsibilities:

1. Reviewing and recommending approval of the accounting policies of the University.
2. Reviewing and recommending approval of the risk management policies of the University.
3. Providing oversight of external auditors. It shall review and recommend the appointment and dismissal of external auditors.
4. Establishing the terms of the independent auditors' engagement.
5. Reviewing and commenting on the adequacy of the University's financial disclosure and internal controls.
6. Reviewing and recommending the annual financial statements to the Board for approval.
7. Overseeing the University's compliance with regulatory requirements.

Committee for Community Engagement

Duties and Responsibilities

The Committee for Community Engagement shall provide advice to the Board of Trustees and make recommendations on matters relating to community engagement with all relevant stakeholders.

The Committee shall undertake the following duties and responsibilities:

1. Advising on the development of University's community engagement goals, priorities and projects.
2. Reviewing and recommending approval of community engagement policies.
3. Monitoring and reviewing the implementation of community engagement projects and activities.
4. Facilitating and promoting effective community engagement links between the University and external constituents.

5. Making recommendations to the Board of Trustees to foster community engagement.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V1.0	12 /07/ 2007	Formation of Board of Trustee	Amiri 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
V 1.3	06/09/2021	-Revised as per the new Board of Trustees Bylaws -Removed AU Cabinet role and responsibilities	Office of OIPE

Board of Trustees Conflict of Interest Policy

Policy Owner(s)	Board of Trustees	Responsible Office	Office of the Chancellor
Approved By	Chair of the Board of Trustees	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

This policy provides guidance to help ensure that when actual or potential conflicts of interest arise, the University has a process in place under which the concerned Board member will advise the Board Chair about all the relevant facts concerning the situation.

Scope

This policy applies to the Ajman University Board of Trustees.

Definitions

Conflict of Interest: A conflict of interest may arise if supporting any action or decision of the Board by a member may be incompatible with the expected duty to the institution and its constituencies, and may result in any financial gain for the member, or the member's family or friends. The conflict of interest may bias or compromise the judgement, decisions or actions of the Board members.

Disclosure of Conflicts: To clearly and promptly disclose any potential conflict of interest to the Chair of the Board and refrain from participating in discussions and voting on all matters relating to an actual or perceived conflict of interest.

Statement

The Board members are subject to the Board of Trustees Conflict of Interest Policy. This policy provides details of expected behaviors of Board members which are intended to protect the University from any external influence. The Board members will act in a manner consistent with their fiduciary responsibilities to the University. The Board members will place the University's interests ahead of their personal interests. The Board members will exercise their powers and duties in the best interests of the Board and the University and for the public good.

Policy

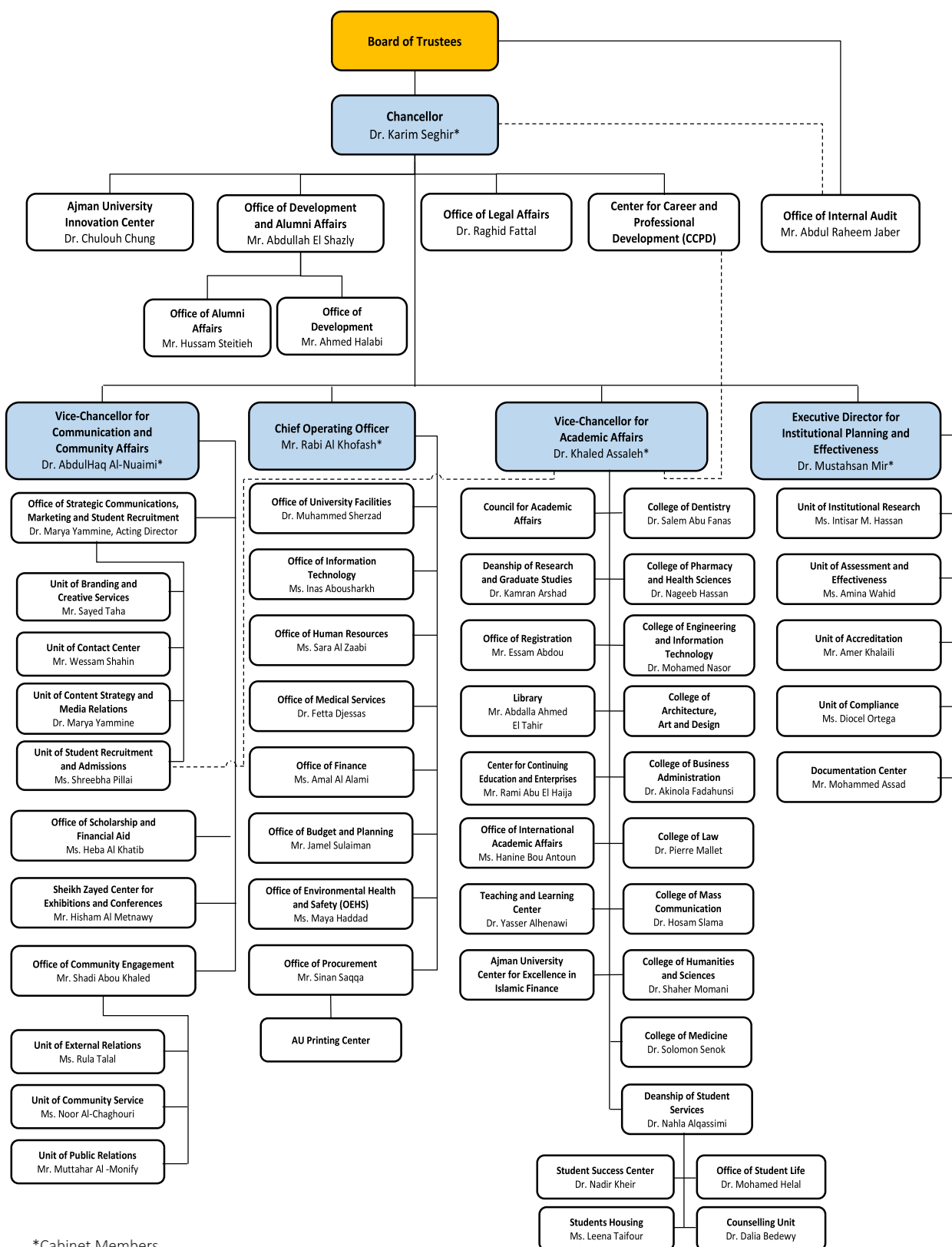
1. The Board of Trustees as well as their first or second-degree relatives shall not have any direct or indirect personal interest in the agreements, contracts, projects or investments to which the University is a party, unless clearly disclosed and approved in writing by the Board of Trustees. The person who has a personal interest shall not be entitled to attend the meeting of the Board of Trustees or participate in the voting or decision-making process.
2. Any Board member who is unsure as to whether or not a conflict may exist in any matter shall request that the Board resolve the question by majority vote in his or her absence.

3. The minutes of such meetings where a conflict has been identified shall reflect that a disclosure was made and that the concerned Board member recuse him/herself when such matters are being discussed and voted upon.
4. The Chair, Vice-Chair and members of the Board of Trustees shall sign a declaration in which they pledge that they are fully aware of the governance provisions and policies and the prohibition of conflict of interest adopted by Ajman University. They shall also assert through this declaration their commitment to abide by the aforementioned provisions and policies in the course of their duty.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	18/08/2021	Initial Policy	Chancellor

AU Organization Chart Approved by the Board of Trustees on 13th October 2022



University Cabinet

Policy Owner(s)	The Cabinet	Responsible Office	Office of the Chancellor
Approved By	Chancellor	Effective Date (revised)	Aug. 2022
		Next Review Date	Aug. 2025

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 Communication and Community Affairs, the Chief Operating Officer, and the Executive Director for Institutional Planning and Effectiveness. The Cabinet meets at least twice a month.

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 Communication and Community Affairs (VCCCA); Chief Operating Officer (COO); the Executive Director of Institutional Planning and Effectiveness; the Legal Advisor; the Executive Director of Development and Alumni Affairs; and the Director of Ajman University Innovation Center. The Internal Auditor is reporting administratively to the Chancellor.

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 Registration, the Deanship of Research and Graduate Studies, the Deanship of Students Affairs, the Center for Continuing Education and Enterprises, the Teaching and Learning Center, the Center for Excellence in Islamic Finance, 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 Research and Graduate Studies 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 Communication and Community Affairs (VCCCA)

The Vice Chancellor for Communication and Community Affairs is responsible for building internal and external relationships with the ultimate goal of significantly increasing community engagement and student recruitment. This includes responsibility for overseeing admissions, community engagement, marketing, student recruitment, scholarships and financial aid at AU.

The VCCCA 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 administrative staff members, campus maintenance and development, risk management, environmental health and safety, and facilities operation.

Executive Director, OIPE

The Executive Director of OIPE is responsible for establishing and ensuring evidence-based assessment, evaluation, and continuous improvement for all academic and non-academic units in the University. He oversees the Units of Institutional Research, Assessment and Effectiveness, Accreditation and University Ranking, Compliance, and the Documentation Center. The Executive Director also heads the Assessment Planning Committee (APC) for assessment planning as well as 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.

The Executive Director (ED) is also responsible for international institutional accreditations as well international accreditations of various academic programs. The ED ensures that the institution licensure is maintained with the Commission for Academic Accreditation (CAA) of Ministry of Education and all programs maintain their accreditation with the CAA. Furthermore, the ED is in charge of various rankings of the University. The ED presents the results of institutional research to the higher management to support evidence-based planning and decision making. The ED oversees the development of annual operational plans (AOPs) of all units in the University as well as the implementation and assessment of AU's strategic goals. He heads the Strategic Plan Monitoring Committee (SPMC).

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V1.1	3/09/2021	This policy has been extracted from the BOT Policy and has been updated as per the new Organization Chart.	OIPE
V1.2	29/09/2022	Minor changes on Cabinet members responsibilities	OIPE

Standing Committees

Policy Owner(s)	The Cabinet	Responsible Office	Office of the Chancellor
Approved By	Chancellor	Effective Date	Feb. 2021
		Next Review Date	Feb. 2024

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 Research and Graduate Studies (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 oversee the development of existing programs and the introduction of new ones. Moreover, CSPC ensures that curriculum development and review are consistent with the approved processes and are undertaken in full compliance with the educational policies of the University. The 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)
- 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)
- Two representatives from Office of Institutional Planning and Effectiveness (Member)

Council of Research

The Council of Research has been established under the Deanship of Research and Graduate Studies (DRGS). 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 Research and Graduate Studies (Chair)
- Heads of Colleges Research Committees (Members)

Environment, Health and Safety Committee (EHSC)

The EHSC was established to ensure that occupational environment, health & safety policies, procedures and processes are in place and appropriately implemented, and their effectiveness is monitored and evaluated regularly for continuous improvement.

Terms of Reference

The committee's mandate includes the following:

- Monitor the effectiveness of safety arrangements at AU and make recommendations to the EHS Officer;
- Assist the EHS Officer in inspection and investigation where specialist knowledge is required;
- Receive accident and incident reports and initiate actions and control measures according to the findings;
- Enhance the awareness of AU community about health and safety issues;
- Conduct monthly meetings to discuss the safety related issues, update the environmental health and safety manual when deemed necessary, and submit relevant suggestions and recommendations to the COO for approval.

Membership

- Officer of Office of Environmental Health and Safety (Chair)
- Manager of Medical Services
- Manager of Office of University Facilities
- Senior Officer, Employee Relations, Office of Human Resources

Institutional Planning Council (IPC)

The Committee is mandated to develop effective plans for AU to become stronger, safer and more agile in the post-COVID world. In addition, 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.

Role and responsibilities

- 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

- Chancellor, Chair
- Vice-Chancellor for Academic Affairs
- Executive Director of OIPE
- Chief Operating Officer
- Executive Director of Development and Alumni Affairs
- Dean of Student Services
- Head of Student Success Center
- Head of the Biomedical Engineering Department
- Manager of Teaching and Learning Center
- Head of Management Department
- Manager of Medical Services
- Lecturer of the College of Pharmacy and Health Sciences

The IPC shall oversee 8 planning committees with specified roles and responsibilities, as explained below. Each of these committees will present their recommended plans to IPC for review and approval. Each committee shall seek input from diverse stakeholders about future planning and development. And, all committees are authorized to form subcommittees as needed. All planning committees, with full support of IPC, will play an instrumental role in developing effective plans for AU to become stronger, more sustainable and more agile. Their input will also constitute a significant part of AU's new strategic plans.

1. Academic Planning Committee:

Role and Responsibilities: Establish alternative modes of educational and research to help AU pursue its mission in a sustainable way. The Committee is responsible for enrollment management, new programs, enriching the learning experience, developing learning resources, improving research and intellectual contributions, etc.

2. Operations Planning Committee:

Role and Responsibilities: Prepare an efficient, productive, sustainable, and responsible set of operations needed to help AU serve its mission. The Committee is responsible for evaluating and recommending a new set of operations that include human resources, facilities, safety and other support services.

3. Student Services Planning Committee:

Role and Responsibilities: Prepare for the most effective student learning experience – teaching, research and co-curricular activities – within a sustainable, stimulating, and inclusive environment.

4. Digitization Committee:

Role and Responsibilities: Guide, facilitate, and inspire digital transformation at AU. The Committee is responsible for spearheading the digitization strategy as well as its implementation across academic and administrative operations and services.

5. Communication and Outreach Planning Committee:

Role and Responsibilities: Explore new ways of communication, community engagement, and marketing that are consistent with the forecasted needs of the future. Responsibilities include evaluation and implementation of new student recruitment plans, cutting-edge internal and external communications, and community engagement initiatives.

6. Fundraising and Development Committee:

Role and Responsibilities: Explore sustainable fundraising and development opportunities necessary to support AU's mission in the new era.

7. Financial and Budget Planning Committee:

Role and Responsibilities: This committee is concerned with short- and long-term financial planning and projections as well as monitoring of expenditure and financial performance. It is also mandated to foster plans for financial development adequate to support the University's mission, to improve institutional effectiveness, and to assure financial stability.

8. Strategic Plan Monitoring Committee:

Role and Responsibilities: Monitor the achievement of strategic goals based on yearly scorecards analysis; and, make recommendations to various committees (based on institutional research) to improve future planning.

Council for Graduate Studies (CGS)

The Council for Graduate Studies has been established under the Deanship of Research and Graduate Studies (DRGS). The main purpose of the Council of Graduate Studies (CGS) is to ensure excellence in graduate teaching and learning. The CGS shall 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 Research and Graduate Studies (Chair)
- One representative from each Graduate Program (Members)

Financial and Budget Planning Committee (FBPC)

This committee is concerned with short- and long-term financial planning and projections as well as monitoring of expenditure and financial performance. It is also mandated to foster plans for financial development adequate to support the University's mission, to improve institutional effectiveness, and to assure financial stability.

Terms of Reference

- Allocates the University budget in accordance with the strategic objectives and prioritization processes;
- Develops and reviews, as necessary, policies supporting short- and long-term financial 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 Chancellor prior to finalizing the annual budget;
- Introduces any proposed changes to the budget and the budget system.

Membership

- Senior faculty member appointed by the Chancellor (Chair)
- Director, Office of Finance (Member)
- Manager, Office of Budget and Planning
- Faculty Representative (Member)
- Representative, Graduate Student (Member)
- Senior Procurement Officer, Office of Procurement (Member)
- Academic Support (Rapporteur)

Research Ethics Committee (REC)

A Research Ethics Committee (REC) has been formed under the Deanship of Research and Graduate Studies (DRGS) to provide independent and competent advice to researchers and professionals on the extent to which proposals of research studies comply with recognized ethical standards and accordingly grant ethical approval of research proposals submitted by AU faculty.

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 Research and Graduate Studies. 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)

Faculty Accountability Committee

This committee is established to investigate cases of the faculty misconduct referred by the Chancellor. This committee shall meet upon the invitation of the Chair of the Faculty Accountability Committee.

Membership

- Faculty, College of Business Administration, Chair.
- Faculty, College of Humanities and Sciences, Co-Chair.
- Faculty, College of Mass Communication, Member.
- Faculty, College of Dentistry, Member.
- Faculty, College of Architecture, Art and Design, Member.
- Office Manager, Office of Vice Chancellor for Academic Affairs, Member and Rapporteur.

Outbound Exchange Scholarship Committee

This committee is established to develop criteria, selection processes and procedures, disseminate them among faculty and students, as well as screening and selecting the recipients of the Scholarship.

Staff Disciplinary Committee

The Disciplinary Committee shall handle the violations committed by staff members. In line with the Staff Disciplinary Policy, the committee shall examine the facts referred by the Chancellor or his representative, and shall submit the recommendation to him. The complainant normally submits the complaint to the Manager of the Office of Human Resources, who in turn directly and confidentially submits it to the Chancellor.

Terms of Reference

1. The Committee shall meet at the invitation of the Chairman, and its meetings shall be valid in the presence of at least three members, including the Chairman or the Vice-Chairman.
2. The Committee's recommendations shall be issued upon the consent of the majority of the members present in the meeting, and in case the votes are equally divided, the side which the Chairman or in his absence the Vice-Chairman supports shall prevail.
3. Recommendation of disciplinary action for sanction shall not be imposed against any staff unless the investigation confirms the complaint and proves that an offence has been committed. The recommendation shall be written and documented, but its duration shall not exceed thirty working days - if possible.

4. The staff against whom the complaint is filed shall be allowed to respond to all the facts attributed to him/her, and the recommendation of disciplinary action for sanction shall be reasoned.
5. The procedures for considering complaints shall be duly documented through the minutes of meetings. The staff concerned, the complainant or any interrogated person shall read their statement in the minutes of the meeting and sign all its pages. If any of them fail to sign, their refusal shall be documented at the end of the minutes of the meeting, and their refusal does not result in the nullity of the investigation or record.
6. If the staff concerned, the complainant or any interrogated person does not speak Arabic, a University translator selected by the Committee shall be hired to provide translation services.

Membership

- Manager, Office of Procurement, Chair
- Manager, Continuing Education Center, Co-chair
- Legal Advisor to the Chancellor, Member
- Acting Manager, Office of Human Resources, Member
- Translator/Editor, Office of Marketing and Communication, Member
- Rozana Aleikish, Office of International Academic Affairs, Member and Rapporteur

Student Disciplinary Committee

The mandate of this committee is to apply the current approved Student Discipline bylaws to disciplinary cases referred by the Chancellor and Deans regarding various kinds of violations and in particular exam violations.

Membership

- Faculty, College of Pharmacy and Health Sciences, Chair.
- Faculty, College of Humanities and Sciences, Co-Chair.
- Faculty, College of Law, Member.
- Faculty, College of Medicine, Member.
- Faculty, College of Business Administration, Member.
- Administrative Officer, Office of Student Life, Member and Rapporteur.

University Development Council (UDC)

The University Development Council is established with the following mandates:

- Assist in attracting financial resources to support students, faculty and program development activities and to enhance the facilities of the University.
- Identify fundraising priorities for the University.
- Identify and enlist the help of other potential volunteers and play an active role in development work, stewarding current and prospective donors to the University.
- Enhance the engagement of alumni and friends of the University.

Academic Planning Committee

This committee is mandated to establish alternative modes of educational and research to help AU pursue its mission in a sustainable way. The Committee is responsible for enrollment management, new programs,

enriching the learning experience, developing learning resources, improving research and intellectual contributions, and so on.

Operations Planning Committee

This committee is established to prepare an efficient, productive, sustainable, and responsible set of operations needed to help AU serve its mission. The Committee is responsible for evaluating and recommending a new set of operations that include human resources, facilities, safety and other support services.

Students Services Planning Committee

This committee is established with the mandate to prepare for the most effective student learning experience – teaching, research and co-curricular activities within a sustainable, stimulating, and inclusive environment.

Digitization Committee

This committee is established with the mandate to guide, facilitate, and inspire digital transformation at AU. The Committee is responsible for spearheading the digitization strategy as well as its implementation across academic and administrative operations and services.

Communication and Outreach Planning Committee

This committee is established with the mandate to explore new ways of communication, community engagement, and marketing that are consistent with the forecasted needs of the future. Responsibilities include evaluation and implementation of new student recruitment plans, cutting-edge internal and external communications, and community engagement initiatives.

Diversity, Equality and Inclusion Committee

The Diversity, Equality and Inclusion Committee has a mandate to implement and advise on policies, programs, and training related to diversity, equity, and inclusion. This committee will guide and guard our commitment to a welcoming environment for people from all places and cultures.

Fundraising and Development Committee

This committee is established with the mandate to explore sustainable fundraising and development opportunities necessary to support AU's mission in the new era.

Strategic Plan Monitoring Committee

This committee is established with the mandate to monitor the achievement of strategic goals based on yearly scorecards analysis; and making recommendations to various committees (based on institutional research) to improve future planning.

Faculty Advisory Council

The Faculty Advisory Council is established with the mandate to provide advice and consultation to the Chancellor on matters of general concern to the faculty pertaining to the welfare and effectiveness of the University. This Advisory Council will be used as an open forum to address academic issues and concerns, and to explore avenues for new and innovative change, unimpeded by organizational hierarchy.

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.

Advisory Board

The Advisory Board is established to ensure involvement of distinguished academicians and business/industry leaders in strategic decision making in each AU College.

General Education Program Council (GEP)

This council is established with the mandate to implement a strategic plan for the General Education Program to better comply with CAA standards and requirements of international accreditation boards.

International Academic Affairs Committee

This committee is established with the mandate to oversee internationalization initiatives.

AU Event Management Committee

This committee is established with the mandate to manage AU's major events and to ensure quality control in implementing the relevant university strategic projects.

Thamer's Fund Committee

This committee is established as part of our social responsibility towards AU students. The committee has the mandate to provide AU needy students with a financial aid to help them pursue their higher education.

Staff Affairs Committee

The Staff Affairs Committee promotes all matters pertaining to staff development. It shall review policies and initiatives pertaining to the professional development, responsibilities, rights, and compensation of administrative staff members and make recommendations to the Chancellor.

Medical Insurance Committee

The committee's mandate is to evaluate cases that are not covered by the medical insurance and make recommendations to the COO on the suggested course of action.

Staff Recognition Committee

The committee's mandate is to receive and evaluate nominations of Managers and Deans on the outstanding staff to be recognized and celebrated.

Staff of the Month Committee

The mandate of the Staff of the Month Committee is to support AU's Staff Recognition Program, in particular the Staff of the Month Award. This award is given as a recognition from Ajman University of the staff's exemplary dedication, distinguished administrative skills and excellent achievements.

Terms of Reference

1. In line with AU's Staff Recognition Program Policy, the committee shall evaluate the shortlisted nominations for the Staff of the Month Award.
2. The primary criteria of evaluating the nominated staff shall be the extraordinary achievements and contributions that exceed the normal job duties and performance expectations as stipulated in the Job Description and lead to enhancing the quality of work at their colleges/ offices during the previous three (3) months.
3. The Committee shall review all nominations by voting, and reports the best five (5) nominated staff members to the Chief Operating Officer (COO) before the 25th of every month.
4. The COO presents the results to the University Cabinet before the 30th of every month. The final selection decision shall be taken by the University Cabinet. After discussions in the Cabinet, the final decision shall be taken by the Chancellor.

Membership

- Director, Office of Finance, Chair
- Senior Officer, Office of Vice Chancellor for Academic Affairs, Co-Chair
- Acting Manager, Office of Human Resources, Member
- Senior Data Analyst, Office of Institutional Planning and Effectiveness, Member
- Recruiting Coordinator, Office of Student Recruitment, Member
- Coordinator, Office of Graduate Studies and Research, Member and Rapporteur

Procurement Committee

The committee's mandate is to:

- Look into the financial and technical aspects of purchase requests and examine the technical reports prepared by the concerned committees of faculties and administrations.
- Ensure that the purchase procedures are neutral, transparent and observant of competitiveness and quality.
- Open the envelopes of tenders and bids.
- Look into 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.

In accordance with the Policy on Policies, 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 of the new policy or suggested revisions in an existing policy, based on an inclusive process, including feedback from various stakeholders, and submits through the online system (ors.ajman.ac.ae)/email 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
V 2.2	28/02/2021	Updated Committees and Membership	The Cabinet
V 2.3	12/10/2021	Added Diversity, Equality and Inclusion Committee, and Staff Recognition Committee with Staff of the Month Committee	Office of the Chancellor

Policy on College and Department Councils

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Vice Chancellor for Academic Affairs
Approved By	Chancellor	Effective Date	Mar. 2021
		Next Review Date	Mar. 2024

Purpose

This policy defines the terms of reference and operating procedures for the College and Department Councils in all Colleges of Ajman University.

Scope

This policy applies to faculty, staff, students, Heads of Departments and College Deans.

Definitions

Academic Staff:

Professor, Associate Professor, Assistant Professor, Principal Lecturer, Senior Lecturer, Lecturer, Senior Instructor/Senior Clinical Instructor, Instructor/Clinical Instructor and Assistant Instructor/Assistant Clinical Instructor.

Simple Majority and Quorum: A quorum is needed in order to take any official action in the College/Department Council. The Quorum and simple majority are met by 50% of the full College/Department Council Membership.

Statement

The College Council functions under the leadership of the College Dean. It makes recommendations and takes actions, as required, regarding all academic and administrative matters concerning the College and its Departments. It develops strategies in alignment with the institutional strategies and contributes towards achieving the mission of the University. The Department Council deals with all academic and administrative matters related to the Department and takes appropriate decisions to fulfill its responsibility towards its faculty, staff and students. It also makes recommendations to the College Council on curriculum, accreditation activities, faculty, and other related matters. The following terms of reference stipulate the authority, duties and responsibilities of the two Councils.

Terms of Reference

College Council

The College Council oversees the academic, administrative, and financial matters of a College in accordance with the University by-laws, policies and procedures. It is the primary governing body of the College. The College Council is chaired by the Dean and is responsible to ensure that the mission of the College and the University are effectively achieved. The College Council, in additions to making its own decisions and recommendations, reviews the recommendations made by the Department Council(s) and takes appropriate actions. It also makes some important recommendations to the Council for Academic Affairs (CfAA), chaired

by the Vice Chancellor for Academic Affairs. Similarly, it deliberates on relevant issues raised in the CfAA meetings and takes appropriate actions and disseminates important information.

Role of the College Council

1. Approve the strategy and mission of the College and monitor their implementation.
2. Support and advise the Dean of the College in the strategic leadership aspects of the College.
3. Review and make recommendations regarding the adoption, alignment, and achievements of the College's planning documents, including, but not limited to:
 - Accreditation Self-Study Reports
 - Educational Plan
 - Annual Business Plan
 - Annual Operational Plan
 - Annual Budget
4. Review and approve recommendations from the College's committees and Department Councils.
5. Provide counsel in matters as requested by the College Dean.
6. Facilitate communication and appropriate involvement of all members of the College community.
7. Assist in disseminating and interpreting policies and procedures to the appropriate constituent groups.
8. Organize and track the flow of information between and among College decision-making groups.
9. Establish rules of order and other processes to be used by the College Council and various participatory governance committees in the deliberation of College issues related to shared governance.
10. Review and make recommendations on enhancing and sustaining quality assurance and institutional effectiveness practices in all academic programs and research of the College.
11. Ensure the review and appropriate use of the findings of CEC and other committees and task forces for the improvement of academic programs, research and student learning outcomes.
12. Review and make recommendations on academic programs and support services to improve student achievements.
13. Make recommendations to the Council for Academic Affairs (CfAA) in accordance with the decisions of the Council. It also discusses relevant issues raised by the CfAA in its meetings and acts accordingly.

Council Members:

- Dean of the College (Chair)
- All associate or vice deans, as applicable
- Department Chairs and Program Coordinators/Directors
- Faculty representatives, as determined by the Dean
- One assistant instructor/instructor/senior instructor, as determined by the Dean
- Student representatives, as determined by the Dean

Operating Procedures:

- The College Dean shall chair the College Council. In the absence of the Dean, the Vice-Dean or another member of the College Council, as nominated by the College Dean, shall chair the College Council.
- Nominations to the College Council for faculty and student members shall be made annually and membership shall be for one academic year with the possibility of renewal. A member who resigns during their appointment may be temporarily replaced in such a way as the Chair of Council may determine. The College Council shall ratify this decision at its next meeting.
- The College Council shall meet biweekly during the two regular academic semesters. Additional meetings may be held at the discretion of the College Dean or at the request of three or more members of the College Council. Members should be notified of the meeting date at least three days in advance unless the meeting is called for urgent matters. The meeting is deemed invalid unless a quorum is reached.
- The College Dean (Chair) shall determine agenda priorities. Issues brought to the College Council may originate with any individual or standing committee, and by the Department Councils.
- Any Council member may bring an item as "Other." If an agenda item is refused, the member may bring the item to the Council and request that it be placed on a subsequent meeting agenda.
- Recommendations will be approved by a simple majority. In case of a tie, the Chair's side shall prevail.
- During vacations, and only in urgent matters that cannot be postponed, the powers of the College Council shall be vested in the Dean of College, who shall report actions taken to the next meeting of the College Council.
- The following may be invited to attend a Council meeting without voting rights:
 - College Secretary
 - Other members of faculty or College staff
 - Other persons as College Council may see fit, for example representation from the Students' Council or College's committees.
- The College Council shall ensure accurate and appropriate documentation, archiving and dissemination of the College Council meetings and recommendations. The College Council secretary, nominated by the Council Chair, shall formally record all meeting minutes.

Department Council

Each academic Department has a Council that is formed of all its academic staff. The Department Council shall be chaired by the Head of the Department (HoD). When deemed necessary, the Chair may invite student representatives who shall have no voting rights. The Department Council has the authority over the educational, research, and administrative affairs, based on the University's By-laws, policies and procedures.

Role of the Department Council

1. It shall discuss and make appropriate decisions regarding all academic and administrative matters related to the proper functioning of the Department, in line with the University policies and procedures.
2. It shall review, discuss, and take appropriate action on reports submitted by the Curriculum Committee, Assessment and Continuous Improvement Committee (ACIC), CEC and other standing or ad-hoc committees.
3. It shall discuss and approve the teaching load assignment of faculty for each semester.

4. The Council may form standing or ad-hoc committees of its members in the deliberation of department issues.
5. The Department Council may suggest or recommend to the College Council study plans, initiation of new programs, accreditation activities, and prepare proposals on any matter referred to it by the Dean.
6. Assign a Department's member to a particular task related to the Department.

Operating Procedures

- The Head of Department (HoD) shall chair the Department Council. In the absence of the HoD, another member of the Department Council, as nominated by the HoD, shall chair the Department Council.
- The Department Council shall meet biweekly during the two regular academic semesters. Additional meetings may be held at the discretion of the Chair or the request of three or more members of the Council. Members should be notified of the meeting date at least three days in advance unless the meeting is called for urgent matters. The meeting is deemed invalid unless a quorum is reached.
- The Chair shall determine agenda priorities. Issues brought to the Council may originate with any individual or standing committee. Any such issue shall be placed on the agenda. Any Council member may bring an item as "Other." If an agenda item is refused, the member may bring the item to the Council and request that it be placed on a subsequent meeting agenda.
- Recommendations will be reached by a simple majority. In case of a tie, the Chair's side shall prevail.
- During vacations, and only in urgent matters that cannot be postponed, the powers of the Department Council shall be vested in the HoD, who shall report actions taken to the next meeting of the Department Council.
- The Council shall ensure accurate and appropriate documentation, archiving and dissemination of the Department Council meetings and recommendations. The Council secretary, nominated by the Council Chair, shall formally record all meeting minutes.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	30/03/2021	New Policy	Vice Chancellor for Academic Affairs

Institutional Planning Policy

Policy Owner	Executive Director - OIPE	Responsible Office	OIPE
Approved By	Chancellor	Effective Date	Feb. 2023
		Next Review Date	Feb. 2026

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's mission, vision and strategic plan are approved by the Board of Trustees (BOT). These are reviewed near mid-term in the context of continuous improvement based on regular assessment and evaluation. After the completion of four years of the existing strategic plan, a thorough review process is initiated in preparation of the next strategic plan. For reviewing the mission, vision, and strategic plan, the Chancellor shall appoint an ad-hoc or standing committee of the University to assist in leading the review. The ad-hoc or standing committee shall receive and review the chancellor's guidelines and prepare a draft based on extensive meetings and focus groups with all stakeholders of the University including alumni, employers, partners, parents, faculty, staff and students. Once the draft is finalized and approved by the Chancellor and the AU Cabinet, it will be submitted to the BOT for its approval. 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 (ACICs) 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
V 2.1	19/02/2020	Minor change in the Policy Statement – Frequency of review (4 years and mid-term)	Executive Director - OIPE
V 2.2	06/02/2023	The policy has been reviewed and no changes required.	Executive Director - OIPE

Operations Risk Management Policy

Policy Owner	Chief Operating Officer	Responsible Office	Office of COO
Approved By	Chancellor	Effective Date	Jul. 2021
		Next Review Date	Jul. 2024

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 set of controls, activities and actions in place 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.

Scope

This policy shall cover operational risks pertaining to fiscal resources, information technology, facilities, and occupational health and safety.

Policy Statement

This operations risk management policy serves 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 the University's mission or strategic goals. The AU risk management policy is tailored around Ministry of Education standards and the CAA requirements.

A number of risk factors can affect the proper delivery of University's key business activities and support services. All potential risk factors are grouped into one of the following risk categories:

1. Financial Risks
2. Information Technology Risks
3. Facilities and Infrastructure Risks
4. Environmental Health and Safety Risks

■ Financial Risk Management

1.1. Purpose

This section 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 strategies to deal with such risks.

1.2. Financial Risk Identification

1.2.1. Credit Risk

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

1.2.2. Liquidity Risk

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

1.2.3. Interest Rate Risk

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

1.2.4. 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 or scheduled installments. The accounts and cheques receivable risk is identified by the overdue customer balances, cheques receivable and scheduled installments with the probability that such amounts are becoming uncollectible.

1.2.5. 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.

Budget Insufficiency Risk This risk involves the risk of running short of budget due to declining revenues related to potential drop in student enrollment/ decreasing demand on certain programs, or due to uncontrolled increases in expenditures or financial losses during the normal course of business activities which might be caused by uncontrollable circumstances such as fire, theft, claims by third parties for damages or losses, which will ultimately affect the University's ability to meet its obligations.

1.2.6. Compliance Risk

This is the risk of not conforming to financial rules, regulations, standards and laws. This mainly includes the risk of not complying to VAT regulations, general pension, social security regulations and financial reporting standards.

1.2.7. Human Resources Risk

Some risks are associated with human resources management function during the normal course of operations, including lack of compliance to applicable legal rules and regulations, improper performance of job duties and responsibilities assigned to staff members that would negatively impact the quality of work and achievement of goals and objectives, and failing to adapt to recent trends in the business environment.

1.2.8. Procurement Risk

Some risks that can be associated with procurement function from financial perspective may include lack of a strategic perspective of the procurement activities; failing to maintain viable relationships with key vendors, discontinued availability of supply sources for some key products and services that add critical value to work, lack of proper and timely communications with other units related to key projects, contracts, events and activities which can cause delays in providing the necessary supplies, equipment and tools, or price disadvantages due missing the benefits of bulk buying.

1.3. Financial Risk Evaluation and Mitigation Methodology

1.3.1. 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:

- a) 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.
- b) Extra available funds are invested in short-term fixed deposits that don't exceed 1-year maturities and over several maturity dates carefully distributed throughout the year to ensure satisfying any urgent needs for cash to meet operational requirements while avoiding the liquidation of such deposits before the maturity date and thus losing the expected returns.
- c) 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.

1.3.2. Liquidity Risk

To mitigate such risk, the management ensures the availability of diversified funding sources along with continuous monitoring of liquidity sufficiency on regular basis.

- a) Regular cash flow forecasting serves as a key indicator of future cash sufficiency, which helps providing an early alarm pertaining to any anticipated liquidity problems.
- b) Cash safety margin must be maintained, that is equivalent to a minimum of (2) times total monthly operating expenses.
- c) Availability of easily accessible funding sources; either through equity or debt sources, which should be maintained in order to quickly raise necessary funds to meet any financial obligations and ensure smooth running of operations.
- d) Reliable and sustainable relationships with banks and other financial institutions should be maintained to facilitate providing the necessary funds within a short period.

1.3.3. Interest Rate Risk

To mitigate the risk of having lower rates on deposits or higher rates on term borrowing in light of the changes in interest rates prevailing in the market, the University's financial management should:



- a) Keep diversified ranges of maturities of its deposits, which allows quick reaction according to changes in the market rates.
- b) This method also reduces the exposure to the risk of losing the part or the whole returns on such deposits due to potential early liquidation of the deposits to meet emerging spending requirements.
- c) In addition, the University should regularly conduct a continuous revaluation and analysis of the market rates to maximize interest revenues on deposits and minimize interest expenses on borrowings.

1.3.4. 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:

- a) 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.
- b) Tracking the amounts of bounced cheques, their value dates, and taking needful actions towards collecting such overdue balances.
- c) 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 updated customer profiles to provide a readily available history of cheque collection, enabling to take informed credit facility decisions in the future.
- d) The University should continuously find sustainable funding sources throughout different fundraising activities that aim to provide financial assistance to help needy students to settle their due balances; thereby mitigating the negative financial impact of default accounts.
- e) 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.
- f) System controls should be also put in place to easily identify accumulated balances and alert the finance team to take necessary action towards collection.
- g) 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.
- h) 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.

1.3.5. 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:

- a) 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 growth in business activities.

- b) 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.
- c) An in-depth planning and financial feasibility prior to 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 interrupt operating activities.
- d) 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:

i. Fidelity Insurance Policy:

To indemnify AU against any loss sustained by any act of fraudulent action or misuse of University resources by any employee who's dealing with cash amounts.

ii. Public Liability Insurance Policy:

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

iii. 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.

iv. 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 hazards, such as fire, building destruction, or damage of any insured contents.

v. 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 on-campus or outside.

Budget Insufficiency Risk This involves the risk of running short of budget due to declining revenues due to potential drop in student enrollment, decreasing demand on certain programs, or due to uncontrolled increases in expenditures or financial losses that might be caused by uncontrollable circumstances such as fire, theft, claims by third parties for damages or losses, which will ultimately affect the financial performance and the ability to meet certain requirements to ensure smooth running of operations. To avoid falling into budget insufficiency risk, the following steps must be taken:

- a) All revenue and expense estimates shall be based on clear assumptions that reflect a systematic methodology of estimation of the main/ leading accounts.
- b) Continuing improvement of the annual budget preparation cycle to ensure its ability to predict any potential challenges in advance and take necessary remedial measures to ensure optimal allocation of resources as needed to achieve the strategic goals and objectives.



- c) Maintain a contingency fund to provide necessary funding for any unplanned or emergency spending needs. The contingency fund should be estimated as a percentage of the annual operating spending budget or as a lump sum amount that is based on certain trends or historical utilization of such fund.
- d) Maintain positive cash flows with excess free cash flows to support all expansion projects and maintain the extra funds into short term/ low risk bank deposits, thus providing stable and sustainable source of funding to easily satisfy all short and long term operational spending requirements.
- e) Conduct in-depth planning and financial feasibility prior to launching any new academic program or investing into other expansion projects.
- f) Utilize the budget reallocation techniques so that in case allocated funds are insufficient to cover requested expenses, the respective unit should try to reallocate funds between different budget line items in the unit's own approved annual budget. This reflects reconsideration of priorities that might lead to postponing some less important planned activities in order to satisfy some other more demanding requirements.
- g) Consider additional budget allocations, unless it's possible to transfer between the budget line items of a specific unit or to cover the shortage from the contingency fund. Additional budget allocations can be requested, while clearly stating the reasons for such additions. Such additional budget allocations can be approved by the Office of Budget and Planning in case the requested expenses will generate additional revenue which is not budgeted for (i.e. event or activity). In case the additional expense does not result in generating additional revenue, then the request shall be approved by the Board of Trustees.

1.3.6. Compliance Risk

The following steps can be taken to mitigate the compliance risk:

- a) Provide a continuing learning and professional development opportunities to the team directly involved in VAT and GPSSA filing, financial reporting and all related rules, regulations and standards.
- b) Adoption of proper system setup, automated processes and other internal control measures to ensure accurate calculations and reporting along with review and validation practices.
- c) Conduct regular awareness sessions for other users from Office of Finance and other units.
- d) Conduct regular consultancy and health check sessions by specialized consultants to ensure that all processes and reports are fully compliant with applicable regulations and financial reporting standards.
- e) Participation in related workshops, conferences and seminars and maintaining viable relationships with contacts from other peer institutions within the higher education sector.

1.3.7. Human Resources Risk

The following steps shall be taken to mitigate the risks associated with human resources:

- a) Conduct continuous training and professional development courses to familiarize staff members about the labor law and regulations, train them on change management and how to successfully adapt to the rapid changing environment.

- b) Conduct regular surveys to obtain feedback from staff members on different business related matters, ideas and suggestions to help addressing necessary changes that might be needed within the workplace environment.
- c) Set clear objectives for staff members along with expected level of skills and competencies, and conduct regular performance appraisal to identify the achievement of such objectives and the training needs that help them meet their performance targets.
- d) Standardize the job descriptions and regularly update them to suit evolving business needs, throughout allocating proper job scale and promotion policies, benchmarking the pay scales with peer institutions, and avoiding high employee turnover by finding effective ways for talent retention.
- e) Maintain high quality health insurance benefits for all employees and their eligible family members that provide accessibility to necessary healthcare services.
- f) Provision of sufficient budget to enable conducting professional development and training programs as well as other staff motivation techniques.

1.3.8. Procurement Risk

The following steps shall be adopted to mitigate the risks associated with the procurement function:

- a) Conduct continuing assessment and review of procurement procedures.
- b) Obtain feedback from end users on the quality of products and services, as well as the commitment of suppliers and contractors.
- c) Conduct regular surveys for suppliers to obtain their feedback about the procurement cycle and how it can be improved.
- d) Identify key suppliers of frequently needed products and services and enter into supply agreements with them to ensure continued availability of such supplies within an affordable timeframe.
- e) Maintain proper communication channels with end users to be aware of their operating plans and be able to satisfy their requirements on time.
- f) Conduct continuous training and awareness sessions for Office of Procurement staff members.

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
V 3.0	01/07/2021	This policy was formerly titled Risk Management Policy. The policy has been updated to only reflect the operations-related risk.	Chief operating Officer

Policy on Policies

Policy Owner	Executive Director - OIPE	Responsible Office	Office of Institutional Planning and Effectiveness
Approved By	Chancellor	Effective Date	Mar. 2023
		Next Review Date	Mar. 2026

Purpose

- This policy serves to ensure consistency, transparency, and quality in the process of developing, reviewing, approving, amending or withdrawing University policies. The adopted process is consistent with best practices and would ensure that University policies are systematically developed, periodically reviewed, and broadly circulated.
- This Policy does not apply to governance documents such as the Board of Trustees Bylaws. Also, it does not apply to operational policies and procedures that may be approved following the application of an approved University Policy.

Definitions:

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

- “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 attainment of University’s mission, achieves compliance with applicable laws and Standards of accrediting agencies, promotes operational efficiency and reduces institutional risk.
- The term “University policy” or “policy” does not include Board of Trustees’ Bylaws, resolutions, or operating procedures.
- “Responsible office” is the University office, department, or unit responsible for sponsoring, implementing, enforcing and answering inquiries about a University policy.
- “Policy Owner” means the University Higher Management, Manager, Department head, or other person who manages or directs the responsible office.
- The “Ajman University Policies and Procedures Manual” means an electronic portal on the University website that is readily 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 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 applicable laws and Standards of accrediting agencies, 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 Development, Review and Approval of Policies

- Any individual or unit may identify the need for a new policy, a revision of an existing policy, but only the Policy Owner can initiate the development of a new policy or request a revision of an existing policy.
- Before proceeding with drafting a new policy or requesting a revision of an existing policy, the Policy Owner shall complete and submit the "Request Form to Develop/Revise/Withdraw an AU Policy" to the Office of Institutional Planning and Effectiveness (OIPE).
- After getting the approval of OIPE and legal advisor (if deemed necessary), the Policy Owner shall start developing a draft policy or revising a current policy using the *Policy Template* and in consultation with key stakeholders. At any time in the drafting process, the OIPE is available for consultation.
- The Office of Institutional Planning and Effectiveness (OIPE) shall act as a central unit to ensure quality control and that all policies are developed in conformity with applicable standards, without any overlap or contradiction, and are regularly revised to keep them current.
- Once the draft of a new policy is prepared using the specified template or modified version of an existing policy is completed, the Policy Owner will forward an electronic copy to the OIPE for review. The OIPE will provide a copy to the legal advisor for review and approval if deemed necessary. Once the policy assessment is completed by OIPE and legal advisor (as applicable), it will be provided by OIPE to the Policy Owner to incorporate suggested changes, if any. The revised version of the new policy or the substantially revised policy, received and reviewed by OIPE, shall be submitted to the Cabinet for approval, and then approved by the Board of Trustees (BOT).
- Policies with minor revisions only require the approval of Policy Owner and OIPE. 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.
- A proposed new, substantially revised policy becomes an official policy of the University and goes into effect after its approval by the Cabinet and subsequently by the BOT in its next meeting. A **substantial revision** is one that introduces a significant change to the scope or consequence of a policy.
- Following the approval of a new policy or major revision in an existing policy:
 - The OIPE shall maintain copies of University policies and policy revisions.
 - The OIPE shall update the Policies and Procedures Manual (PPM) and ensure that the updated PPM is published on AU's website.
 - The Policy Owner shall ensure that the policy is appropriately announced and communicated to the University community.

c. 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, standard, or business process. It is the responsibility of the Policy Owner or the responsible office to ensure that the review dates mentioned in the policies are strictly observed.

- The responsible office may deem it appropriate to retain or withdraw an existing policy or consolidate two or more policies. For the retained policies and/or policies with minor changes, the Policy Owner shall notify OIPE. OIPE shall update the PPM and reflect the review and/or the minor revisions in the policy history and dates and ensure that the updated PPM is published on AU's website.

d. Withdrawal of Existing Policies.

- The responsible office can initiate the request for withdrawal of an existing policy. Any individual or unit who determines the need to withdraw an existing policy shall coordinate with the responsible office. The Policy Owner or the responsible office shall complete and submit electronically the withdrawal request using the “*Request Form to Develop/Revise/Withdraw an AU Policy*”, along with the copy of the policy to be withdrawn, to OIPE. The OIPE shall provide a copy to the legal advisor for review and approval if deemed necessary. Once the policy withdrawal assessment is completed by OIPE and legal advisor (as applicable), OIPE shall submit the request form with the attached policy to the Cabinet for approval. It will be subsequently submitted to the Board of Trustees (BOT) for approval in its next meeting.
- Following the approval to withdraw a policy:
 - The OIPE will maintain copies of signed University policy withdrawal.
 - The OIPE shall remove the withdrawn policy from the Policies and Procedures Manual (PPM) and ensure that the updated PPM is published on AU's website.
 - The Policy Owner or responsible office shall ensure that the withdrawn policy is appropriately announced and communicated to the University community.

A summary of the roles and responsibilities for developing an AU policy is provided as follows:

Roles and Responsibilities for Developing an AU Policy

Step 1: Development

Policy Owner:

1. Provides subject matter expertise in researching the need for policy, identifies issues and solutions.
2. Consults with the Office of Institutional Planning and Effectiveness (OIPE) to ensure conformity with applicable standards, no overlap or contradiction with current policies, and to regularly review and/or revise a policy as per its review schedule to keep them current.
3. Completes and submits the “Request Form to Develop/Revise/Withdraw an AU Policy” to Office of Institutional Planning and Effectiveness (OIPE) for approval of OIPE and legal advisor (if deemed necessary).
4. Drafts policy language and coordinates with stakeholder(s) and/or functional expert(s) for policy draft review.
5. Submits an electronic copy of the new/substantially revised policy to the OIPE for review and approval. Coordinates with OIPE for the periodic review to retain and/or add minor changes on existing policies.
6. For withdrawal of policies, the Policy Owner completes the “Request Form to Develop/Revise/Withdraw an AU Policy” and attaches the policy to be withdrawn, and submits to the OIPE for approval.

OIPE:

Serves as consultant to Policy Owner for all Step 1 functions. Works with the legal advisor in obtaining approval of developing/withdrawing policies that requires legal compliance. Updates the Policies and Procedures Manual with retained and/or policies with minor changes and ensures publication of the updated PPM.

Step 2: Review**Policy Owner:**

1. Works with OIPE to coordinate review of an existing policy.
2. Makes edits to draft policy in response to feedback received from OIPE and submits the revised draft, as needed.

OIPE:

1. Provides feedback to Policy Owner and works with the legal advisor (as needed) in obtaining recommendation for approval of policies that require legal compliance.
2. Reviews the revised draft provided by the Policy Owner.

Step 3: Approval**OIPE:**

1. Approves policies with minor revisions in consultation with legal advisor (if needed).
2. Submits final draft of the new/ substantially revised or withdrawn policy to the Cabinet for approval.
3. Receives policy approval from the Cabinet and later from the BOT.
4. Communicates policy approval to Policy Owner.
5. Maintains copies of signed university policies and policy revisions.
6. Updates the Policies and Procedures Manual (PPM) and publish the manual on Ajman University's website.

Cabinet: Provides feedback/approves and recommends for Board of Trustees (BOT) approval of new/ substantially revised or withdrawn policies.

Policy Owner: Announces policy, educates community, and encourages feedback.



Request Form to Develop/Revise/Withdraw an AU Policy

INSTRUCTIONS

- This form covers the development of a new University policy, the revision of an existing policy or the withdrawal of an existing policy. The Policy Owner can refer to the University “**Policy on Policies**” for additional information while filling the form. The Policy Owner must sign the form before forwarding it to the OIPE through the online policy development system or by electronic mail.
- If the policy review is in accordance with the scheduled review date mentioned in an existing policy, there is no need to submit this request form if the changes are minor in nature (refer to “Policy on Policies” for definition of minor changes). In this case, the Policy Owner will directly submit the revised policy with minor changes or even no changes (but with new revision date) to OIPE.

CONTACT INFORMATION

Policy Title	Date
Policy Owner /Responsible Office	

Policy reviewers - stakeholder(s) and/or functional expert(s):

Name	Position	Department/Office	Contact

POLICY INFORMATION

- ☐ Create new policy ☐ Withdraw existing policy
☐ Update existing policy
 ☐ Minor revision (refer to Policy on Policies for definition)
 ☐ Substantial revision (refer to Policy on Policies for definition)

POLICY CATEGORY

- ☐ Governance and Management ☐ Quality Assurance ☐ Educational Programs
☐ Research and Scholarly Activities ☐ Faculty and Professional Staff ☐ Students
☐ Health, Safety and Environment ☐ Learning Resource Center ☐ Legal Compliance and Public Disclosure
☐ Fiscal Resources, Financial Management and Budgeting ☐ Community Engagement
 Other (specify) _____

Rationale for revision/withdrawal

Briefly describe the reason behind the revision/withdrawal of policy, and attach any relevant documents.

Rationale behind new policy

Briefly describe the rationale behind the new policy.

Signature of Policy Owner

 Name

 Signature

 Date
Approval and Recommendation

Office	Proceed	Not Proceed	Date	Remarks
OIPE	☐	☐		
Legal Advisor (optional)	☐	☐		

Additional Comments by OIPE

Cabinet Approval

Chancellor

 Name

 Signature

 Date

Policy Template

(Policy Title)

Policy Owner	-----	Responsible Office	-----
Approved By	(to be filled by OIPE)	Effective Date	(to be filled by OIPE)
		Next Review Date	(to be filled by OIPE)

Purpose

Scope (as applicable)

Definitions: (as applicable)

Statement

Procedure (as applicable)

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	DD/MM/YY	New Policy/Revised with minor changes/ Revised with substantial changes (please indicate the revised section)	-----

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
V 1.2	27/10/2020	Minor revision- section "b. Procedures for Review and Approval of Policies"; Addition of section d. Withdrawal of Existing Policies; Revision of policy request form; Addition of Policy Template	Executive Director - OIPE
V 1.3	02/03/2023	A summary of the roles and responsibilities for developing an AU policy is added.	Executive Director - OIPE

2. Quality Assurance



جامعة عجمان
AJMAN UNIVERSITY

Quality Assurance Policy

Policy Owner	Executive Director - OIPE	Responsible Office	OIPE
Approved By	Chancellor	Effective Date (revised)	March 2023
		Next Review Date	March 2026

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:

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 Disciplinary and 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 for text plagiarism.
 - 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 a separate quality assurance unit, called the Office of Institutional Planning and Effectiveness (OIPE). The OIPE is headed by an appropriately qualified and experienced Executive Director whose time and effort are directed principally to the work of the unit and who reports directly to the Chancellor. The OIPE is staffed with seven full-time qualified employees to support its organizational research and quality assurance systems. They are provided professional development opportunities on a regular basis in order to effectively discharge their duties. 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.

Organization of OIPE

In achieving its mission statement and supporting goals and objectives, the Office of Institutional Planning and Effectiveness (OIPE) is structured around four highly coordinated units; namely Institutional Research, Assessment and Effectiveness, Accreditation and University Ranking, and Compliance. The role/responsibilities of these four units are explained below.

Unit of Institutional Research

This unit is responsible for carrying out institutional research and providing support to the higher management and colleges with the results of institutional research. It shall also gather data, analyze it, and prepare the Fact Book on an annual basis. The unit is also responsible for preparing and submitting CHEDS data to the Ministry of Education as well as the required institutional research data to various accrediting agencies. The unit is also responsible for providing the data required by ranking agencies.

Unit of Assessment and Effectiveness

This unit coordinates with colleges for planning and carrying out the assessment of students' learning outcomes for all academic programs. It monitors and reviews the preparation of annual effectiveness reports for all colleges. It is also responsible for the assessment of non-academic units by carrying out balanced score card analysis of their assigned KPIs with specific targets. In addition, the unit carries out a number of feedback surveys for students, faculty and staff, analyzes the results, and submits the survey reports. It organizes workshops to enhance expertise of faculty in assessment related tasks.

Unit of Accreditation

This unit stands as a liaison between the University and the CAA, Ministry of Education, on all academic and non-academic issues, including approval of joint/dual degrees and progression Agreements. It coordinates with all colleges for the preparation of academic programs' self-study documents and site visits for the CAA's ERTs. It also provides support to academic departments in preparation of international accreditation of programs. In addition, it is responsible for organizing the inspection visits of the Ministry of Education. It also organizes workshops to enhance expertise in accreditation related tasks.

Unit of Compliance

This unit is responsible for ensuring that all institutional documents including Policies and Procedures Manual, Catalogs, and Handbooks, etc. are in full compliance with the Standards of the CAA and relevant international accreditation agencies. It is also responsible to ensure that the institutional documents provided on the University website comply with those available in the electronic or hard copy formats. The unit provides full support to all units in developing and updating their policies.

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.

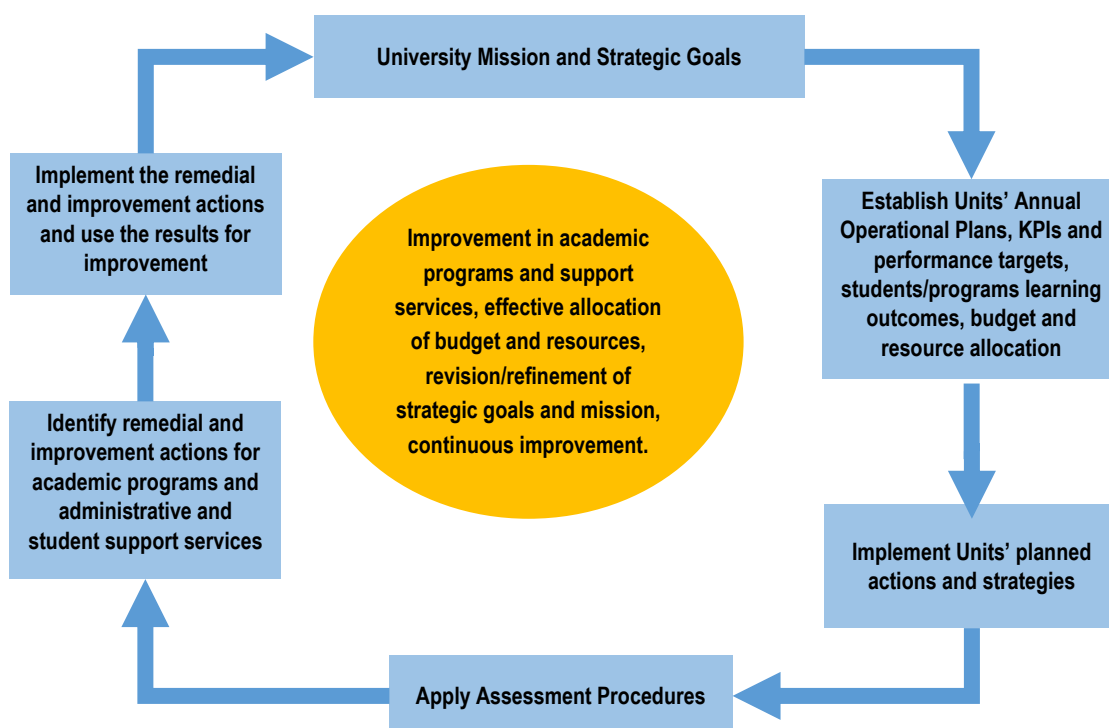
The institutional research activities shall be carried out regularly to meet the assessment cycle of the University. The activities could be summarized as the following:

- 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 learning 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.

Contribution of Feedback in Quality Assurance

AU recognizes the significant contribution of periodic feedback, from all relevant stakeholders, for quality assurance and continuous enhancement of academic and non-academic processes and systems. It is for this reason that its Policies and Procedures Manual (PPM) specifically includes a “Policy and Procedure on Surveys”. These surveys include Student Course Assessment Survey (SCAS), Academic Advisory Survey (AAS), students’ perception of achievement of CLOs, senior students’ exit survey and interviews, alumni survey, employers’ survey, advisory board survey, different types of faculty surveys, administrative staff satisfaction survey, satisfaction surveys for all support services offered by the University, KPIs-associated surveys, and ad-hoc surveys, etc. A schedule of these surveys is provided in the “Policy and Procedure on Surveys”. The objective of these surveys is to obtain and analyse the feedback obtained from various stakeholders, identify the strengths and weaknesses, and take corrective as well as improvement actions for continuous enhancement.

In addition to these periodic surveys for obtaining feedback and taking appropriate actions accordingly, the University encourages and supports obtaining feedback through other sources and means. These include feedback from external subject matter experts for improving the curricula, pedagogy, and support services to enhance students’ learning experience and advance higher education in general. In this regard, the feedback of the External Review Teams (ERTs) of the Commission for Academic Accreditation (CAA) and other international accreditation bodies such as Quality Assurance Agency (QAA), WSCUC, AACSB, HCERES, AQAS, etc. is always taken into consideration for making appropriate changes in course syllabi, assessment instruments, and pedagogy. Furthermore, it is recommended that for the sake of overall improvement of academic programs, the colleges and departments seek students’ feedback through specifically arranged meetings about curricula and teaching methodologies, etc., where students’ representatives can be involved in program-level management committees and engaged in curriculum design, content, and delivery aspects, as and when required.

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
V2.1	09/08/2021	Inclusion of OIPE units description	Executive Director - OIPE
V2.2	05/09/2022	Inclusion of section on the role of feedback	Executive Director - OIPE
V2.3	27/03/2023	Inclusion of joint/dual degrees and progression Agreements’ CAA approval in the Unit of Accreditation liaison responsibilities.	Executive Director - OIPE

Policy on Adoption of Accrediting Agencies Policies and Procedures

Policy Owner	Executive Director - OIPE	Responsible Office	Office of Institutional Planning and Effectiveness
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

This policy serves to ensure that Ajman University (AU) is accurately representing itself, and demonstrates its commitment and accountability to the institutional and program accrediting agencies it is associated with. AU is authorized to grant degrees by the Ministry of Education through the Commission for Academic Accreditation (CAA). All the university's academic programs are accredited by CAA and, as such, have had to demonstrate compliance with all the standards deemed by CAA to be comparable to those of higher education institutions locally, regionally and globally. Additionally, CAA standards that relate to the operation of the university and academic and student support services are periodically reviewed for compliance as part of the university's ongoing accreditation.

At the international level, AU has an institutional accreditation by the Quality Assurance Agency for Higher Education (QAA) in the UK, and specialized program accreditations in USA, Europe, Australia and UK. To maintain its accreditation status with these accrediting agencies, AU strives itself to continuously adopt their associated policies and procedures.

In AU's quest for continued academic excellence and international reputation, it embarks on a new journey, aiming to achieve a North American model of institutional accreditation. Specifically, from the Western Association of Schools and Colleges Senior College, and University Commission (WASCUC). In support of this initiative, AU developed the following policy.

Statement

AU officially adopts all the policies, procedures and processes of all the accrediting agencies it is associated with, that relate to its development and delivery of academic programs, academic support and student services programs and general institutional operations. AU's Board of Trustees and administration certifies the following:

- Ajman University describes itself in identical terms to all accrediting agencies and regulatory bodies;
- All information presented in AU's accreditation applications is accurate and thorough;
- AU, in its relation with WSCUC, is committed to the following:
 - a. Adhere to the requirements of WSCUC Eligibility, if granted, and abide by WSCUC's Standards, Policies, and Procedures in the pursuit of Initial Accreditation;
 - b. Promptly communicate to WSCUC any modifications in its status; and
 - c. Disclose to WSCUC any and all information it requires to carry out its accrediting responsibilities, including the activities of governmental bodies and other accrediting agencies that involve AU and any investigations, reports, and legal actions taken by or against the University.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	17/01/2021	New Policy	Executive Director - OIPE

Policy and Procedure on Surveys

Policy Owner	OIPE Executive Director	Responsible Office	OIPE
Approved By	Chancellor	Effective Date	Feb. 2023
		Next Review Date	Feb. 2026

Purpose

This policy is established to guide the AU community in the process of developing questionnaires, conducting surveys, generating the survey results and appropriate dissemination of these results.

Scope

This policy is applicable to all Ajman University faculty, administrators, and staff.

Definitions:

Survey is defined as a gathering of information through questionnaires, interviews, etc., either through internet communication or paper, to make inferences about a population.

Statement

Surveys are an increasingly popular method for gathering information and feedback from university stakeholders. University applicants, students, faculty, staff, alumni and employers are increasingly being asked to participate in surveys to gather data for administrative, planning, and reporting purposes. AU's increasing need for surveys is a result of the continuous effort to understand student and/or employee and other stakeholders' experiences with AU, to measure outcomes, and to implement quality improvement. AU endeavors to ensure that surveys are well designed and administered in an efficient manner, timed to avoid survey fatigue by not overburdening a target population and to steer clear of conflict of interest in the schedule of results dissemination. Moreover, AU ensures that surveys are well coordinated to represent an efficient use of University resources.

Procedure

The OIPE serves as the main office responsible for coordinating surveys in order to ensure meaningful and reliable results. All surveys are conducted online using different tools. The surveys are categorized into two main types as far as the responsibility of conducting surveys is concerned, OIPE Surveys and College Surveys. The schedule of AU surveys is provided in the following table (Table 1). The surveys are developed and conducted as per the following guidelines:

- The Colleges are responsible in designing the program-specific surveys such as students' perception on CLOs, exit surveys, employer surveys, alumni surveys, senior students' interviews and advisory board surveys. This is in line with the established process described in AU's Quality Assurance Manual (Roles and Responsibilities for Various Aspects of Assessment). The Colleges shall consult and seek approval from OIPE prior to publication of their surveys. The Colleges are also responsible for generating the reports and their dissemination to the appropriate channels for all surveys conducted

by the Colleges. The OIPE is responsible for generating the reports and disseminating these reports for all surveys conducted by OIPE.

- The OIPE surveys for different units of the AU community are designed by OIPE in consultation with the concerned units and the dissemination of results is as per the survey schedule (Table 1).
- All Satisfaction Surveys, except those related to assessment of courses and academic advising, shall use 5-point Likert scale and the minimum acceptable overall weighted average score shall be 3.5 out of 5 or 70%. A Corrective Action Plan is required if the achieved score for an indicator is less than the minimum acceptable score of 3.5 out of 5 or 70%. In addition, for continuous quality enhancement, each Unit shall provide an Improvement Action Plan for the following year. Satisfaction surveys related to assessment of courses and academic advising, such as Student Course Assessment Survey (SCAS) and Academic Advisor Survey (AAS) shall use 5-point Likert scale and the minimum acceptable overall weighted average score shall be 4 out of 5 or 80%.
- For all KPIs-related surveys, ad hoc surveys or surveys requested by the Chancellor's Office, and any other survey requested by the CAA/other external agencies, the requester shall adhere to the following:
 - The requester must plan the timeline of the survey in consideration of the survey schedule (Table 1), to ensure that the frequency of surveys of the target population, especially students, are minimized. This is to ensure a good response rate and to avoid burden on respondents.
 - The survey requester must inform OIPE at least two weeks prior to the event/survey publication in order to properly prepare and conduct the surveys.
 - The survey requester shall take the ultimate responsibility in ensuring that the questionnaire captures the required information/data and shall provide OIPE with the details of appropriate target population.
 - The KPI-related surveys shall use 5-point Likert scale and the minimum acceptable overall weighted average score shall be 3.5 out of 5 or 70%. A Corrective Action Plan is required if the achieved score for a KPI is less than the minimum acceptable score of 3.5 out of 5 or 70%. In addition, for continuous quality enhancement, each Unit shall provide an Improvement Action Plan for the following year.

Table 1: Schedule of AU Surveys

#	Survey Name	Responsibility	Survey Respondents	Survey Period			Closing of Survey	Results Dissemination
				Fall Semester	Spring Semester	Summer Semester		
1	Student Course Assessment Survey (SCAS)	OIPE	Students	√	√	√	Before the final exam	After Grade Submission
2	Academic Advisor Survey (AAS)	OIPE	Students	√	√	√	Before the final exam	After Grade Submission
3	Students' Perception on CLOs	College	Students	√	√	√	Before the final exam	After Grade Submission
4	Exit Survey	College	Students		√		End of Spring semester	After Grade Submission
5	Alumni Survey	College	Alumni	Annual (Spring semester)			Decided by College	Decided by College
6	Senior Students' Interview	College	Students		√		End of Spring semester	After Grade Submission
7	Employer Survey	College	Employer	Annual (Spring semester)			Decided by College	Decided by College
8	Advisory Board Survey	College	Advisory Board Members	Every 3 years			Decided by College	Decided by College
9	Faculty Satisfaction Survey	OIPE	Faculty	Annual (Spring semester)			1 week after survey publication	End of Fall Semester
10	Annual Performance Evaluation Survey	OIPE	Faculty	Annual (Spring semester)			1 week after survey publication	End of Fall Semester
11	Professional Development Plan (PDP) Survey	OIPE	Faculty	Annual (Spring semester)			1 week after survey publication	End of Fall Semester
12	Administrative Staff Satisfaction Survey	OIPE	Admin staff	Annual (Spring semester)			1 week after survey publication	End of Fall Semester

13	KPIs-associated Surveys/ Ad-hoc surveys	OIPE	Students, Faculty, Admin Staff, External Stakeholders	As requested in accordance with the specified guidelines	After three weeks from survey publication/within the day of the event	End of Academic Year
14	Any other survey requested by the CAA/external agencies/ Chancellor's Office	OIPE	TBA	TBA	Within the day of the event/ before the external agencies data submission deadline	End of the Academic year/ before the external agencies data submission deadline

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	14/12/20	New Policy	OIPE Executive Director
V 1.1	29/03/21	Minor change - updated the frequency of alumni and employer survey to annual basis	OIPE Executive Director
V 1.2	31/05/2021	Minor change – Added KPI based surveys requirement of Corrective Action Plan/Unit Improvement and updated Satisfaction Survey Corrective Action Plan/Unit Improvement requirement statement.	OIPE Executive Director
V 1.3	03/02/2023	Minor changes – schedule of items 9-12 have changed from Fall to Spring semester.	OIPE Executive Director

Institutional Documents Revision, Approval and Archiving Policy

Policy Owner	Executive Director	Responsible Office	Office of Institutional Planning and Effectiveness
Approved By	Chancellor	Effective Date	Jun. 2021
		Next Review Date	Jun. 2024

Purpose

This policy guides the process of revision, approval and archiving of institutional documents at Ajman University.

Policy Statements

AU, in accordance with the *Standards* of the Commission for Academic Accreditation, maintains and publishes its institutional documents to all relevant stakeholders. AU, since its Initial Licensure has obtained approval from the CAA of its institutional documents and periodically reviews for compliance as part of the University's continuous improvement process and ongoing accreditations.

AU Internal Review of Institutional Documents

The OIPE's Unit of Compliance maps the sections of the institutional documents with the respective annexes of the CAA Standards (Table 1) and generates a report of the needed action to demonstrate compliance. In addition, it also generates a mapping report with the MoE's Framework for Compliance Inspection of HEIs. These reports are submitted to the OIPE Executive Director for review and discussion. As per the outcome of review and discussion, the Unit of Compliance at OIPE shall follow-up with the responsible individual(s) of the needed action to address the deficiencies of the institutional documents. Upon completion of the updates, the revised institutional documents are submitted to the OIPE Executive Director for review and approval. Upon approval, the Unit of Compliance publishes the most current version and archives the previous version of the institutional documents on AU's website.

Table 2. CAA Standards 2019 and AU Institutional Documents Mapping

Annex 3	Policies and Procedures Manual
Annex 4	Undergraduate Student Catalog
	Graduate Student Catalog
Annex 5	Faculty Manual
Annex 6	Staff Manual
Annex 7	Student Handbook
Annex 8	Quality Assurance Manual

Requirements of CAA's External Review Team

The OIPE's Unit of Accreditation and University Ranking coordinates with the Unit of Compliance on all re-licensure and program accreditation requirements relevant to the institutional documents. The Unit of Compliance reviews the requirements of ERTs and coordinates with the individual(s) responsible of institutional document sections that requires modifications. Upon the completion of the revised section(s), the updated institutional documents are submitted to the Unit of Accreditation and University Ranking for

review. Upon the completion of the review, the Unit of Accreditation and University Ranking will submit the revised institutional document (or the specific section) along with the narrative response to the OIPE Executive Director for final approval. Upon approval, the Unit of Compliance publishes the most current version and archives the previous version on AU's website.

Policies and Procedures Manual (PPM) Revision

AU's policies and procedures are periodically reviewed in a three-year period as per the review schedule indicated in each policy or if deemed necessary to address licensure and/or accreditation requirements. The policy owners are responsible for maintaining the policies. Newly developed/substantially revised/withdrawn policies shall be approved by the Chancellor and then submitted to the Board of Trustees for approval at its next meeting. For minor revision of the policies, the policy owners can send the amendment to OIPE. The OIPE's Unit of Compliance updates the PPM to incorporate the approved newly developed/revised or remove the withdrawn policies, publish the current version and archive the previous version on AU's website. More details of this process are provided in the Policy on Policies.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	20/06/2021	New Policy	OIPE Executive Director

3. Educational Programs



جامعة عجمان
AJMAN UNIVERSITY

Academic Program Development and Revision Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Mar. 2021
		Next Review Date	Mar. 2024

Purpose

The established policy guides the Ajman University community in developing new academic programs and revising existing academic programs.

Scope

This policy applies to all academic and non-academic staff that are engaged in academic program development and revision.

Statement

All new academic programs are developed in alignment with AU's mission and goals of the strategic and academic plans. AU adheres to the United Arab Emirates *Qualifications Framework Emirates (QFE)* as required by the *Standards* of the Commission for Academic Accreditation (CAA) of the Ministry of Education (MOE).

AU colleges encourage the development and refinement of academic offerings to reflect the changing needs of learners and society. Faculty are the academic leaders in defining the curricula of the college and work closely with the Department Council, College Council, Curricula and Study Plan Committee and the Council for Academic Affairs to design programs that serve student needs and are both academically sound and fiscally viable.

Academic program development includes the academic and intellectual conceptualization, as well as the processes associated with the development, review and approval of formal new program proposals, as well as revisions to existing programs. Such programs include bachelor's degree, postgraduate diploma, master's degree and doctoral degree programs.

Procedure

New Program Development

The AU program development process is consultative and evidence-based. The two-stage process includes: 1) Preliminary Program Proposal and 2) Final Program Proposal.

Preliminary Program Proposal

1. The process starts with the preparation of a new program proposal by the academic department. For this purpose, the department can request OIPE for a specific template called the "Template for Proposing New Academic Program". Some of the items required in the Template must be properly researched and completed providing sound justification.
2. The Head of the Department shall submit the new program proposal for review and approval, using the above-mentioned Template, first to the Department Council (DC) and then to the College Council (CC).

3. After approval by the College Council, the Dean shall submit the final version of the proposal Template to the Curricula and Study Plan Committee (CSPC) for its review and approval.
4. After the approval of the CSPC, the Dean shall submit the approved version of the proposal Template to the Council for Academic Affairs (CfAA).
5. After approval by the CfAA and the VCAA, it shall be submitted by the VCAA to the Cabinet for review and approval by the Chancellor.
6. Upon approval by the Chancellor, the VCAA shall notify the Dean to proceed with the comprehensive development of the new program.

Final Program Proposal

1. The Dean shall notify the Head of the Department to form an internal committee to work on comprehensive development of the new program.
2. In developing a new program, the Head of the Department/internal committee shall collaborate with the Office of Institutional Planning and Effectiveness (OIPE) to develop an action plan to prepare and submit the *Initial Program Accreditation (IPA) Application*. The IPA Application shall be prepared in accordance with the CAA's *Procedural Manual for Initial Program Accreditation (PM IPA)* and *Standards 2019*.
3. The Head of the Department shall ensure that the total number of credit hours must at least be equivalent to the minimum required number of credit hours by the CAA. The minimum requirements are as follows. For more details refer to *Standards 2019*.

Bachelor degree

The total number of credit hours of a Bachelor Program should not be less than 120. Thirty 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 specialization/concentration, the number of credit hours of specialization/concentration courses must be between 15 and 21 credit hours.

Postgraduate Diploma

A Postgraduate Diploma is typically one year of full-time study with a minimum of 24 semester credits (or equivalent) of course work beyond the Bachelor's degree.

Master Degree

A Master's degree requires at least one year of full-time study, or a minimum of 30 semester credits of course work (or equivalent) beyond the Bachelor's degree. The minimum credits are not inclusive of any non-credit bridge courses, which may be required. A Master's degree requires a substantial thesis or dissertation of at least six and no more than nine credit hours.

Doctoral Degree

A Doctorate degree typically requires at least three years of full-time study, with at least 54 semester credits (or equivalent) beyond the Master's level.

1. Upon completion of all the requirements for Initial Program Accreditation (IPA) Application and CAA *Standards 2019*, the Head of the Department shall submit the complete *IPA Application* to the Office of Institutional Planning and Effectiveness (OIPE) for review and feedback.
2. The revised IPA Application, including a detailed self-study report and complete Appendices, shall be submitted by OIPE to the CAA.

Program Revision

Program revisions are in line with continuous improvement at AU. They are guided by feedback from internal/external stakeholders and ensure program's currency and relevance. The Program Revision has three categories, minor change, substantive change, and the addition of a new minor.

- **Minor Change:** A change is considered as minor if the revision does not modify a program's key characteristics (such as its goals, program learning outcomes, mode of study or the total number of credit hours) and involves some minor changes to 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;
- addition of new elective course(s); changes to assessment procedures.

The Minor Change does not require CAA's approval.

- **Substantive Change:** A change is regarded as substantive if it:
- a. substantially changes the aims or learning outcomes of a program;
 - b. establishes instruction in a significantly different format (such as an intensive term) or method of delivery (such as e-learning);
 - c. introduces or closes one or more concentrations within a program;
 - d. increases or decreases the number of learning hours awarded for successful completion of a program or the length of the program.

Refer to the Substantive Change Policy for more details concerning substantive change.

- **Addition of Minor:** Addition of a Minor is considered as a new application, not a substantive program change application. Therefore, the department must refer to the new program development process.

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 – Policy ownership allocation	Associate Vice-President for Academic Affairs
V 1.3	19/09/2019	Inclusion of section regarding development of new program	Vice Chancellor for Academic Affairs
V 1.4	25/04/2021	Inclusion of a section regarding the development of an application for substantive change	Office of Institutional Planning and Effectiveness

Substantive Change Policy

Policy Owner	Executive Director, OIPE	Responsible Office	Office of Institutional Planning and Effectiveness (OIPE)
Approved By	Chancellor	Effective Date	Apr. 2022
		Next Review Date	Apr. 2025

Purpose

Ajman University (AU) is responsible for following the substantive change standards, policies and procedures of the Commission for Academic Accreditation (CAA), Ministry of Education of the UAE, and WASC Senior College and University Commission (WSCUC) of the USA, and accordingly shall seek the approvals of such changes from these two accreditation bodies, as and when required.

Scope

This policy applies to all types of substantive change submissions to the CAA and WSCUC.

Policy Statement

AU, in line with its Policy on Adoption of Accrediting Agencies Policies and Procedures, must fulfil the applicable requirements of the substantive change policy of each accrediting body that it is associated with. In particular, AU shall adhere to the following:

1. AU shall notify the CAA of all institutional changes that constitute a substantive change, as defined in the CAA Standards, and get its approval prior to initiation of such changes.
2. AU shall notify WSCUC of changes in accordance with the [WSCUC Substantive Change Policy](#) and, when required, seek approval prior to the initiation of changes as detailed below. AU, in order to comply with WASCUC Standards of Accreditation, ensures that all substantive changes must be reported to the Commission in a timely fashion and in accordance with the [WSCUC Substantive Change Manual](#).

Individuals or departments with questions about AU's Substantive Change Policy should consult the Executive Director of the Office of Institutional Planning and Effectiveness (OIPE), who if necessary, will contact the respective accrediting body for further advice and guidance.

1. CAA Substantive Change

1.1 Substantive Change at Institutional Level

Institutions must inform the CAA of any planned or actual substantive changes of the kinds listed below, or others similar to them. They include, but are not limited to, those that:

- a) change the legal status or form of control of the institution, including a change in ownership or a merger with another institution;
- b) significantly alter the mission or goals of an institution;
- c) relocate the primary campus, or establish instruction at a new location such as a branch or additional campus;
- d) close one of the institution's locations;
- e) close one or more of the institution's programs;
- f) make significant changes in the organizational structure, such as separating one unit or institution into two, or joining two separate units;
- g) establish a contractual relationship with another organization to provide teaching and learning services;

- h) offer non-credit courses or other activities that affect the mission, or alter faculty or professional staff workload.

CAA Reporting Process:

If the organizational change meets the above conditions, the concerned office/college shall coordinate with OIPE and refer to the following process:

1. **Notice to the CAA** - Notification of the organizational change and consultation with CAA on further actions/substantive change report submission. The institution must give the CAA a report at least four months before the date on which the change is to be implemented.
2. **Evaluation by the CAA** - Review the change, determining the scope and type of evaluation required.
3. **Notification and Status** - The CAA will determine the scope and type of evaluation required, and inform the institution of the review outcome and further action/implementation of change. If the institution proceeds with the change without CAA approval, it risks jeopardizing its licensed and registered status.

For more details, refer to the CAA Standards, Annex 1: Substantive Change at Institutional Level.

1.2 Substantive Change at Program Level

Adequate advance planning and lead time are crucial to the successful design and implementation of substantive changes in a program. The Head of the Department, in collaboration with OIPE, shall take into consideration the substantive change submission, review and approval timeline of the CAA and the target implementation at AU.

Development and CAA Reporting Process:

1. The Head of the Department shall obtain the approval of the Department and College Councils. The MoMs shall be well-documented with appropriate justification.
2. Proposed changes in the study plans or curriculum shall be submitted to the Head of Curricula and Study Plans Committee (CSPC) and then to the Council for Academic Affairs for review and approval. The MoMs shall be well-documented with appropriate justification to demonstrate the robust process of review and approval.
3. Once approved by the CSPC, CfAA, and the VCAA, the OIPE shall notify the CAA in advance of the planned substantive change to obtain guidance on the best course of action prior to developing the *Substantive Change* report.
4. Upon OIPE's confirmation, the concerned department shall prepare a Substantive Change report according to the CAA Standards 2019 section 3.14 (substantive change for programs and Annex 17). For preparing the Substantive Change report, the department shall use the specific template available with OIPE: *Application for Substantive Change at Program Level*.
5. Upon completion, the Head of Department shall submit the Substantive Change report to OIPE, which shall submit to the CAA after its review carried out in collaboration with the concerned academic department.

2. WASCUC Substantive Change

As defined by WSCUC, a substantive change "is a change to an institution's mission, educational programs, scope, control, or organizational structure that needs to be reported to and approved by WSCUC in advance of implementation. The standard of review for substantive changes is whether a substantive change would adversely affect the institution's capacity to meet WSCUC Standards of Accreditation."

The following has been adopted from the [WSCUC Substantive Change Manual](#) (September 2021). There are three primary types of actions/changes that require Substantive Change Review and two levels of review:

Type of Actions

1. **Program** - new programs or adjustments to existing programs
2. **Structural** – changes to organizational structure, including institutional mission, ownership, legal status or control
3. **Location** - additional location or branch campus

Levels of Review

Staff Review and Decision

Routine changes within the institution's current scope of accreditation, such as a request to offer an academic program in a discipline closely related to the institution's existing offerings, or a new program that does not require substantial new course to implement, change in program length and additional location at which 50% or more of an educational program is offered, and new branch campus location (after the first branch campus location has been approved by the Substantive Change Committee).

Committee Review and Decision

1. Peer review by the Substantive Change Committee for significant but focused changes, such as new programs representing a departure from the institution's academic portfolio or alterations to delivery methods of existing programs.
2. Peer review by the Substantive Change Committee and by the Commission Structural Committee for changes that reach beyond a program and affect the institution as a whole.
3. Peer review by a team of evaluators (a comprehensive evaluation for changes that significantly affect the institution as a whole and/or pose challenges to its ability to meet WSCUC Standards of Accreditation.
4. Peer review through the Eligibility and Seeking Accreditation process for changes that result in the creation of a fundamentally new institution.

Substantive Change Review Screening Form

AU's Accreditation Liaison Officer (ALO), in consultation with the WASCUC staff, shall submit a Substantive Change screening form via the WSCUC portal to determine the need and/or level of review ([Substantive Change Program Screening Form Preview pdf preview](#)).

Timeline

WSCUC encourages institutions to submit the Substantive Change screening form and/or application and fee (where applicable) **at least six months prior** to the planned implementation date of change. Programs cannot be started without WASCUC approval. Reviews requiring staff review only (e.g., modality change) generally take several months for processing.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/04/2022	Initial policy	Office Institutional Planning and Effectiveness

Collective Ownership of Curriculum

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Mar. 2023
		Next Review Date	Mar. 2026

Purpose

This policy is established to recognize and ensure collective ownership of curriculum for every academic program offered by the University.

Scope

This policy is applicable to all faculty members at AU.

Policy Statement

Ajman University (AU) involves various stakeholders in developing, evaluating, and updating the curricula of its academic programs. This includes feedback from students, faculty, alumni, consultation with internal and external academic experts, feedback from accreditation review teams, and formation of advisory groups and/or other modes of engagement and ongoing dialogue.

AU develops its curriculum in line with the CAA Standards and ensures that program learning outcomes are mapped to the relevant descriptors of QFEmirates for the appropriate program level. AU recognizes that high-quality curriculum can be developed by focusing on identifying the appropriate content knowledge, skills, and competencies according to international standards and instructional best practices. Hence, all curricula at AU are collectively developed to be learner-centered, and maintained in order to adopt best practices in teaching and learning, innovation, diversity, equity and inclusion, and to meet the skills sets demand of students' future jobs; ensuring quality education that is sustainable. In this regard, the faculty play a very crucial role. It's their joint responsibility and for that they take collective ownership of the curriculum of their programs.

Procedure

As part of their collective ownership of the curriculum, all faculty members of AU must refer to the following policies that are published in AU's Policies and Procedures Manual. These policies include the defined roles and responsibilities of faculty and other stakeholders, including committees that are involved in curriculum development and revision at AU.

- Policy on College and Department Councils
- Academic Program Development and Revision Policy
- Program Specification Policy
- Course Syllabus Policy
- Substantive Change Policy
- Quality Assurance Policy
- E-Learning Policy (as applicable)

In addition, the faculty members must refer to the roles and responsibilities relevant to curriculum development that are defined in the Faculty Manual.



Moreover, the Quality Assurance Manual details the assessment mechanism that should be followed at AU. Also, it defines the roles and responsibilities for various aspects of assessment in academic programs, showing an integrated system of assessment, evaluation, and continuous improvement involving the Institutional Effectiveness Committee (IEC), College Effectiveness Committees (CECs), and Assessment and Continuous Improvement Committees (ACICs). The continuous improvements, among others, include review and updating of program curriculum to ensure its currency and relevance.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	09/03/2023	Initial policy	Office of Vice-Chancellor for Academic Affairs

Program Specification Policy

Policy Owner	Office of the Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Jan. 2021
		Next Review Date	Jan. 2024

Purpose

This program specification policy states the standards for program specification purpose, preparation, update and revision.

Statement

The purpose of program specifications is to act as a definitive record of the program, setting out the program's intended aims and learning outcomes, structure, admission requirements, approaches to teaching and learning, assessment and quality assurance. The Program Specifications are prepared in accordance with the CAA Standards, Annex 10: Program Specifications, which provide a full picture of the program.

For each program offered, AU provides a comprehensive specification document that:

- is a primary source of information for students and prospective students seeking an understanding of a program; what students need to have achieved in order to enter the program, what will be expected of them during the program, and what they will have achieved having taken the program;
- assists those involved in program curriculum development to appreciate the structure of the program and its learning outcomes;
- allows internal and external reviewers to understand the program's learning outcomes, structure and approach;
- is a source of information for employers, particularly about the skills, knowledge and aspects of competencies that they can expect from graduates of the program;
- assists institutions in communicating essential program information to external stakeholders, such as professional bodies;
- is a guide for receiving feedback from students on the extent to which they perceived that the opportunities for learning were met.

Each program specification should include:

- program title and program code/number;
- authoring team;
- date document prepared;
- dates of initial accreditation of the program and, where appropriate, subsequent renewal of accreditation of the program;
- dates of international accreditation and subsequent renewal of accreditation, if applicable;
- academic unit(s) delivering the program;



- g. in cases of interdisciplinary or jointly offered programs, the academic unit primarily responsible for the program;
- h. delivery support partner (as applicable);
- i. delivery mode(s);
- j. educational aims of the program;
- k. program learning outcomes;
- l. completion requirements;
- m. program structure;
- n. support for students and their learning;
- o. criteria for admission;
- p. facilities, including laboratories, studios or other specialist resources supporting the program;
- q. methods for evaluating and improving the quality and standards of teaching and learning;
- r. assessment plan for program learning outcomes;
- s. indicators of quality and standards;
- t. program matrices or schematic showing:
 - the schedule of delivery;
 - program learning outcomes mapped to course learning outcomes;
 - program learning outcomes mapped to descriptors of the QFEmirates for the appropriate program level;
 - teaching and learning methods;
 - assessment methods.

Implementation

- The Program Coordinator and the Head of the Department are responsible for ensuring that the requirements of this policy are communicated effectively and are supported by appropriate administrative arrangements and documentation. The Program Specification shall be prepared using the template provided by the Office of Institutional Planning and Effectiveness (OIPE), and shall be amended from time to time in accordance with the changes and development of the program and/or as required by the CAA.
- It is the responsibility of Program Coordinator and the Head of Department to maintain and update their program specifications. The final version of program specifications document should be reviewed and ratified by the departmental committee in the College.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	11/01/2021	Initial policy	Office of the Vice-Chancellor for Academic Affairs

General Education Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Coordinator of the GEP
Approved By	Chancellor	Effective Date	Jul. 2021
		Next Review Date	Jul. 2024

Purpose

The policy provides guidelines for the development and management of the General Education program (GEP) at AU and the inclusion of required General Education courses in the study plans of undergraduate degree programs.

Scope

This policy applies to students, faculty, staff, administrators, General Education Program (GEP) Council, academic colleges and departments, and non-academic stakeholders.

Statement

The General Education Program (GEP) is an independent program that is included as mandatory requirement within all undergraduate academic programs offered by Ajman University. Therefore, the student must complete the program requirement with at least a passing grade in all GEP courses in order to graduate with a Bachelor degree from AU. The GEP courses are included in all study plans of undergraduate academic programs.

GEP completion and credit transfer policy

- Each undergraduate student at AU must complete 30 credit hours in the general education program as part of their graduation requirement, a total of 10 courses with 3 credit hours for each course.
- Students can transfer up to 30 credit hours to the GEP from their previous recognized institution as long as this doesn't exceed the number of total credit hours allowed to be transferred from another institution
- Students can transfer GE courses from other institutions if they satisfy AU policy for credit transfer. The transferred course is 3 credit hours and 75% of its content match with the equivalent course at AU and achieve a minimum grade of C in the transferred course.
- The transferable course description and course syllabus will be referred to the department of its specialty to decide on the course equivalency request suitability matching of the course content.
- Every AU student shall cover pre-determined areas of study in the General Education program, specifically areas required by national and international accreditation.
- Each undergraduate student shall study at least one course that covers each of the areas mentioned in Table 1.

Table 1

Areas of Study that shall be covered by at least one course	
Arabic language	Humanities and Arts
English language	Sciences
Islamic studies	Social and Behavioral Sciences
Emirates studies	Quantitative and Data Analysis
Innovation and Entrepreneurship	

- In addition to the areas of study that are covered by at least one course, as mentioned in Table 1, the areas of study mentioned in Table 2 are covered by GEP courses, not specific to a certain course.

Table 2

Areas of Study covered by GE courses, not specific to a certain course	
Sustainability	Leadership and teamwork
Writing	Decision making
Critical Thinking	Technology
Problem Solving	Social Responsibility
Research	Analytical Thinking
Communication	Future Learning

GEP course policy:

- Each course consists of 3 credit hours (either 3 theory or 2 theory + 1 lab) as pre-determined by the department of specialty when designing the course.
- Each course must have defined course learning outcomes that meet the University level requirement for a course covering the three levels of learning (knowledge, skills, and competence).
- Each course must have a planned syllabus that meets the requirement of the most recent CAA *Standards* and follows the most updated syllabus template distributed by the OIPE.
- The course must be an introductory course at undergraduate level with no pre-requisite.
- Adding courses to the GEP is suggested by the GEP Council and following the procedure of AU internal academic approvals for new courses.
- The GEP courses are offered by academic departments of the specialty, which in turn are committed to respond to the requirements of the GEP Council for developing and ensuring the effectiveness of the program.

Effectiveness Program Policy

- The GEP develops well-formulated, defined, and measurable Program Learning Outcomes (PLOs) for the GE Program.
- The PLOs shall cover wide areas of the three levels of learning; knowledge, skills, and competence, in a manner that allows for inclusion of all GE courses covering the areas of studies mentioned in table 1 and 2.
- Each PLO is mapped and measured by pre-determined sufficient number of CLOs from several GE courses.

- An annual effectiveness report is prepared by GEP Council demonstrating the achievement of program goals and PLOs. The report includes a detailed evaluation of courses and recommended improvement actions to be implemented together with the overall program development for the next measuring cycle.
- The effectiveness report along with course reports (ICARs & CARs) shall be submitted to the OIPE as instructed in the course assessment calendar.
- Course files for all GEP courses are to be updated every semester according to CAA *Standards* by the course instructor.

Managing and developing the GEP

- The GEP is developed, updated, evaluated, and overseen by a Council.
- The Council is appointed by the Vice Chancellor for Academic Affairs (VCAA). Therefore, the GEP Council reports all its functions to the Office of the VCAA.
- The GEP Council is headed by the GEP Coordinator. The Council consists of up to 6 faculty members from different colleges. The members of the Council are selected by the GEP Coordinator after consulting with the VCAA, who appoints the members.
- The GEP Council is responsible for coordinating with all academic colleges and stakeholders in order to develop the program and ensure its effectiveness.
- The GEP Council prepares and submits the required reports about the GEP to internal and external accreditation agencies.
- The GEP Council runs the operation of the GEP as follows:
 - Continuously develops the GEP as required.
 - Prepares effectiveness reports for the program, evaluates the development of the program, and gives feedback to concerned academic and non-academic stakeholders.
 - Follow-up with academic staff and oversee the completeness of the course files.
 - Prepares and coordinates with academic colleges for class schedules of GE courses.
 - Prepares and coordinates with academic colleges for the final exam schedules of GE courses.
 - Provides feedback and consultation to the VCAA on the requirements for the development of GEP.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	6/7/2021	New Policy	GEP Council

Undergraduate Completion Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of Registration
Approved By	Chancellor	Effective Date	Feb. 2023
		Next Review Date	Feb. 2026

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

- 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), and level of study.
- Once the Registration officer enters the program on the system, he submits to the Registrar an electronic copy of the entered study plan on the system.
- 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 add 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.
- The Registrar sends the electronic copy of the study plan to the Dean of the College for approval.
- Once the approval of the Dean is obtained, the Registrar sends the list of the details of new courses to the Finance Department to enter on the system.
- 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

- 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.
- 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.
- The transferred courses should not, in any case, include more than 50% of the credit hours of the program.
- 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.
- 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 registration officer makes a (Degree Evaluation Audit) on the banner system for the expected graduates to ensure that 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. In case of mismatch, he/she transfers the case to the Registrar who will in turn discuss the case with the Dean of the College.
- b. After the results appear and before the end of the semester the registration officer sends to the Dean of each college the transcripts of graduating students to approve their graduation
- c. Finally, for each program, the list of graduating students' names and IDs are compiled by the Office of Registration before the end of the semester.

NB:

When a student takes 50% or more of a program's credit through online courses, the student transcript shall clearly state that the program delivery mode was online.

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

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 above, and Doctor of Medicine students whose CGPA is 2.5 or above.
- The list of graduating students that completed all courses but whose CGPA is less than 2.0. or CGPA less than 2.5 for DM students. These students will be asked by the academic advisor to re-take course/s from their study plan to raise their CGPA to 2.0 or above, and CGPA of 2.5 or above for DM students.
- 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 one course and it is the last course required for graduation. Otherwise, they will retake the courses during the following semester.

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 transcript 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 clearance form) are consistent with the existing ones on the system.
 - The student submitted his/her clearance form attached with a recent passport and national identification.
- 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.

The Registrar is responsible for uploading- the certificates of the graduates to the -the Ministry of Education portal for degree verification.

NB:

- a. Changing the name of the graduate is not allowed once the graduate has been delivered his/her graduation certificate, While it is possible to put a sticker on the back of the certificate and the official transcript showing the old name from which the student graduated and the new name, provided that 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

- Each graduate will be given a Graduation Certificate in Arabic and English and Transcript, only after his/her clearance has been approved by the college and the concerned offices. Such clearance can't be approved if s/he has dues towards Ajman University. Ajman University is entitled to withhold the graduation certificates, the Transcript, the diploma (wall certificate), and any other letter or certificate, if s/he does not fully honor his/her obligations towards Ajman University, including financial commitments or dues.
- 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 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	Pass

- The CGPA passing grade for undergraduate programs is 2.0 except for Medicine, the required CGPA is 2.5.
- The 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 after the Graduation Ceremony.

Time Allowed for Completion of a Degree Program

- 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's 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.
- 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.
- 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.

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
V 1.3	27/09/2020	Minor change – transcript entry provision for courses delivered through e-learning	OIPE Executive Director
V 1.4	02/02/2023	The policy has been updated consistent with the Degree Audit and Graduation Policy	Office of Registration

Graduate Completion Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of Registration
Approved By	Chancellor	Effective Date	Feb. 2023
		Next Review Date	Feb. 2026

Purpose

This policy outlines the procedure to be followed by admitted graduate 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) level of study.
- b. The Registration officer submits to the Registrar an electronic copy 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 an electronic 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 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 above), 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 for following up on 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 registration officer makes a (Degree Evaluation Audit) on the banner system for the expected graduates to ensure that 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. In case of mismatch, he/she transfers the case to the Registrar who will in turn discuss the case with the Dean of the College.
- b. After the results appear and before the end of the semester the registration officer sends to the Dean of each college the transcripts of graduating students to approve their graduation
- c. Finally, for each program, the list of graduating students' IDs are compiled by the Office of Registration before the end of the semester.

NB:

When a student will take 50% or more of a program's credit through online courses, the student transcript shall clearly state that the program delivery mode was online.

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 above.
 - The list of graduating graduate students who completed all courses but whose CGPA is less than 3.0. These students may be allowed by the college's dean to re- take course/s from their study plan to raise their CGPA to 3.0 or above.
 - 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 otherwise, they will re-take the courses during the next semester.

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 transcript 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 clearance form) are consistent with the existing ones on the system.
 - The student submitted his/her clearance form attached with a recent passport and Emirates ID.

- 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.

The Registrar is responsible for uploading the certificates of the graduates to the Ministry of Education portal for degree verification.

NB:

- Changing the name of the graduate is not allowed once the graduate has been delivered his/her graduation certificate, while it is possible to put a sticker on the back of the certificate and the official transcript showing the old name from which the student graduated and the new name, provided that he/she presents an official document.
- 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 and Transcript, only after his/her clearance has been approved by the college and the concerned offices. Such clearance can't be approved if s/he has dues towards Ajman University. Ajman University is entitled to withhold the graduation certificates, the Transcript, the diploma (wall certificate), and any other letter or certificate, if s/he does not fully honor his/her obligations towards Ajman University, including financial commitments or dues.
- 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 4.0	Excellent with Honor
From 3.6 to less than 3.8	Excellent
From 3.3 to less than 3.6	Very Good
From 2.0 to less than 3.3	Good

- c. The two graduation certificates contains the security chip.
- d. 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 after the 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
V 1.3	27/09/2020	Minor change – transcript entry provision for courses delivered through e-learning	OIPE Executive Director
V 1.4	02/02/2023	The policy has been updated consistent with the Degree Audit and Graduation Policy	Office of Registration

Policy on Double Major, Major/Minor and Second Degree

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of the VCAA
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

To define AU's policy on double major, major/minor and second degree.

Scope

This policy is applicable to all Ajman University students.

Definitions:

Major: The major is the field of study in which a student specializes at the baccalaureate level. The major requires that a student complete a minimum of 30 semester credits (or equivalent) that are specified for the major and distinctive to that subject area. A student receiving a degree with a major will be issued a degree certificate that includes the name of the major.

Double Major: Double major requires meeting the subject-area requirements of each of the two majors.

Minor: A minor is a separate field of study outside the major or concentration in which a student has a secondary area of specialization, requiring less course work than the major. Minors require that students earn 12-18 semester credits in subject area courses.

Concentration: A concentration is a grouping of courses which represent a sub-specialization taken within the major field of study. In accordance with CAA's *Standards 2019*, concentration may be specified on the student's academic record (transcript) but not on the degree certificate. The concentration shall include at least 15 credits of study, or equivalent, in the specialized field in order to be recognized by the MoE. In graduate programs this must include the thesis and at least 9 credits of other courses.

Policy Statements

Double Major

AU currently does not provide the option of double major for any of its programs.

Major/Minor

AU students are eligible to enroll for a minor while they are pursuing their major after they have completed 75% or more credit hours from their study plan with minimum Cumulative GPA (CGPA) of 2.5 . Also, their application for major/minor must be submitted prior to the specified deadline, which is one week before the last day of the add/drop period of their expected graduation semester. The approvals of both the Dean of the college offering the major and the Dean of the college where student is seeking a minor are required for admission of the student to the requested minor. The primary academic advisor of the student will continue to serve as advisor for both major and minor. However, the academic advisor may seek assistance and cooperation from the department or college offering the selected minor.

The completion requirements for the minor, including the prerequisites required to take the specified courses, are well defined for all minors offered by Ajman University. Students enrolled in major/minor must satisfy all the degree completion requirements of the major as well as all stated completion requirements of the minor.

The student's transcript and degree certificate will indicate the major. The minor completed at the time of graduation will be indicated on the student's transcript. For graduation, the student must obtain a cumulative GPA of at least 2.0 in all subjects related to the major, as per the approved study plan, as well as a cumulative GPA of 2.0 in subjects required for the selected Minor. The cumulative GPA of the major shall be calculated based on all courses in the approved study plan. The cumulative GPA of minor shall be determined based on the list of courses specified for successful completion of the minor.

The CGPA mentioned on the transcript shall be the overall CGPA calculated based on all courses of major in the approved study plan as well as the additional courses taken to satisfy the requirements of the minor. Furthermore, the degree certificate shall mention the corresponding merit (Excellent, Very Good, Good, ...) for the overall CGPA of major and minor courses as mentioned above.

Second Degree

- An additional undergraduate degree may be awarded to graduates of first degree from AU only when a student meets the admission requirements for the second degree and upon completion of the requirements of the additional degree, which must include at least 30 credit hours that are distinctive to that particular program/major and not taken to meet requirements of the first degree.
- An additional Master's degree may be awarded to graduates of first degree from AU only when a student meets the admission requirements for the second degree and upon completion of the requirements of the additional degree, which must include at least 15 credit hours of courses (excluding thesis/dissertation credits) that are distinctive and not taken to meet requirements of the first degree.

A student who has already graduated with an undergraduate degree from an institution other than AU can apply for a second undergraduate degree but would not get credit for any course listed in the transcript for the first undergraduate degree. The same applies to an applicant for second graduate degree who graduated from an institution other than AU. No credit will be granted from the courses listed in the transcript for the first graduate degree.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	30/04/2017	New Policy	Vice-Chancellor for Academic Affairs
V 1.1	16/06/2021	Added definitions	Vice-Chancellor for Academic Affairs
V 1.2	11/11/2021	Major revision	Vice-Chancellor for Academic Affairs

Teach-Out Policy

Policy Owner(s)	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date (revised)	Aug. 2022
		Next Review Date	Aug. 2025

Purpose

This policy explains the process adopted by Ajman University in case of discontinuation of an academic program offered by the University or closure of the institution as a whole.

Scope

This policy applies to all academic programs offered by Ajman University as well as students enrolled in these programs and the University as an institution.

Statement

Ajman University is a single-campus institution located in the Emirate of Ajman, UAE. It offers a number of undergraduate and graduate programs, all accredited by the Commission for Academic Accreditation (CAA) of the Ministry of Education (MOE). In case of discontinuation of one or more of its academic programs or closure of the institution as a whole, the teach-out plan should be based on the fact that the University is a community with a responsibility for the well-being and interest of students, faculty and staff. While students' interest is obviously of utmost importance in a teach-out plan, the teach-out plan shall also take into consideration the personnel, equipment and laboratories specific to the program(s) being phased out.

The University will provide all necessary support to students to complete their academic program(s) with minimal disruption, if any. For this purpose, the required resources, faculty and staff will be available during the phase-out stage. Similarly, for faculty and staff associated with the concerned academic program(s), appropriate plans will be developed to assist them. This is accomplished by adopting the following teach-out policy and procedure.

I) Discontinuation of a Program

Ajman University (AU) may find it necessary to discontinue the offering of a program either in compliance with the regulations or directives of the Commission for Academic Accreditation (CAA), Ministry of Education or as a result of internal program review at AU. Once the University has decided to discontinue an academic program, it will:

- Inform the CAA about its decision to discontinue the program.
- Stop admitting students to the discontinued program.
- Within two weeks after the decision to discontinue an academic program has been made, the concerned students, faculty and support staff shall be notified about the decision by the Dean.
- Students enrolled in the discontinued program will be assisted by their academic advisors in explaining this teach-out policy. They shall also be informed of other options available to them including transfer to other institutions offering courses comparable to that offered by AU.
- An audit will be conducted for each student enrolled in the discontinued program to identify the remaining courses to complete the program.
- AU shall appropriately generate a teach-out plan to ensure its commitment to provide high-quality education to the remaining existing students. The teach-out plan shall indicate the last admission to the program, the number of existing students in the program, expected date of the last batch of students'

graduation and the reason of program discontinuation. The teach-out plan shall be submitted to the VCAA for approval.

- g) Upon the approval of the program teach-out plan by the VCAA, AU shall communicate it to all relevant stakeholders for implementation and/or information concerning the approved plan.
- h) As per the program's study plan, AU shall continue to offer the courses till the last cohort of the program graduates.
- i) In cases where some students were unable to follow the study plan due to their academic standing or personal constraints, AU shall open a class section to accommodate these remaining students. However, if the number of students is quite below the minimum class size, the respective College shall evaluate the course(s) structure and the learning outcomes to determine if the course(s) can be offered through independent study. Consequently, at the discretion of the College, the course(s) shall be offered through independent study. Records of independent study approvals for discontinued programs and corresponding supporting documentation shall be maintained by the College.
- j) Students who decide to withdraw from a discontinued program will not be permitted re-entry into the program if their remaining courses are no longer offered in accordance with the teach-out plan.
- k) AU may, if it is possible, at its sole discretion, reassign some faculty and staff within the University. However, the availability of such an option is not guaranteed and its scope will be quite limited, if indeed possible.
- l) AU shall form a task force to devise a plan to re-utilize, as much as possible, sell, donate or dispose of the equipment and material of laboratories, clinics, studios, etc. associated with the affected program after their utilization in the phase-out stage.

II) Closure of Institution

In case Ajman University (AU) is denied Institutional Relicense by the CAA or its Board of Trustees decides to close the University, then for each of its offered programs, it shall follow the same process as mentioned above for a discontinued academic program, if so approved by the CAA. Otherwise, it shall exercise the second option of developing and implementing teach-out agreement(s) with other institution(s) recognized by the CAA. Any teach-out agreement developed with another institution will be submitted to the CAA for its endorsement before its implementation.

AU would also like to mention here article 17 of the Amiri Decree No. 6/2021, which states:

"If the University stops performing its tasks and achieving its goals for any reason whatsoever, HH the Ruler of Ajman will issue - upon the recommendation of the BOT- an Amiri Decision to organize the continuity of the University".

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	06/07/2021	Initial policy	Office of the Vice-Chancellor
V 1.1	17/08/2022	Minor change -Inclusion of personnel, equipment and laboratories in teach-out plans	Office of the Vice-Chancellor

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

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA and Office of Registration
Approved By	Chancellor	Effective Date	Sep. 2022
		Next Review Date	Sep. 2025

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:

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

Policy

- 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.
- The University does not grant credit twice for substantially the same course or repeated course. Neither does it grant credit for training in unaccredited institutes, nor for previous courses from unlicensed educational institutions in the United Arab Emirates or abroad.
- Except for credits awarded through advanced placement or credit transfer, in order to grant credits on the basis of informal or non-formal learning a challenge exam will be required in all cases prior to the awarding of credit for prior learning.
- For appropriate recognition, the learning should be current, relevant to the course and of sufficient breadth and depth to ensure university level learning.
- For obtaining credit for prior learning experience, applicant's knowledge, skills, and competencies shall be weighed against course descriptions and their learning outcomes.

6. A maximum of 30 credit hours can be gained through PLAR. However, in all cases, credits granted through Recognition of Prior Learning (RPL) for all courses in an individual undergraduate program must not exceed 50% of the total completion requirements including credit transfer of formal learning and not more than 25% for graduate programs.
7. 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'.
8. PLAR courses shall not be used in determining the cumulative GPA.
9. 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 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 to 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 of informal and non-formal learning, 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 Registration. The student will be informed accordingly by the Office of 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
V 1.2	27/06/2022	The policy was reviewed and there are no changes required.	Office of Registration
V 1.3	20/09/2022	Minor updates as per the CAA Standards, and office name change from Office of Admissions and Registration to Office of Registration.	Office of Registration

Credit Hour Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	March 2023
		Next Review Date	March 2026

Purpose

This policy defines the credit hour and the allocation of credit courses at Ajman University.

Policy Statement

The academic credit provides a basis to measure the amount of engaged learning time expected of a student. A credit hour is a unit of measurement defining the student's overall effort towards attaining a qualification.

One semester credit for a course equals approximately one hour of time in class or direct faculty instruction and a minimum two hours outside of class in independent learning or specific course assignments per week over a semester of fifteen weeks or longer. This indicates that one academic credit equates to a minimum of forty-five-hour commitment to learning over a semester. This credit hour definition also applies to seminar courses.

For laboratory or studio-based courses, the allocation of credit differs; one semester credit is given for two hours of laboratory or studio time per week over a fifteen-week semester or longer.

For undergraduate courses, three pre-clinical training contact hours correspond to one credit hour, while four clinical training contact hours correspond to one credit hour. For graduate courses, two pre-clinical or clinical training contact hours correspond to one credit hour.

For thesis/dissertation, one credit hour represents three to four hours per week of supervised and/or self-study by student over a semester of fifteen weeks or longer, with a total of at least one contact hour per week with their thesis/dissertation supervisors.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	02/11/2020	Initial policy	Council for Academic Affairs
V 1.1	23/03/2023	This policy has been updated to include seminar courses, and thesis/dissertation credit hour definition.	Vice Chancellor for Academic Affairs
V 1.2	05/04/2023	Policy updated to include pre-clinical and clinical courses.	Vice Chancellor for Academic Affairs

Dual Credit Program Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Nov. 2020
		Next Review Date	Nov. 2023

Purpose

This policy is established in order to provide guidance to administrators and faculty who are involved in dual credit programs.

Scope

Only students enrolled in approved dual credit programs are eligible to be granted credits for dual credit courses.

Statement

In collaboration with the Ministry of Education (MoE) of the United Arab Emirates, AU offers an online dual credit program for participating high schools. Dual credit is a process by which a high school student enrolls in AU introductory courses and receives simultaneous credit from both the college and high school. Successfully completed courses can count for the students if they decide to join AU after completing high school. By participating in this program, students get a head start on earning credits toward a college degree, save money on the cost of higher education, and enter the workforce sooner. This program also aims to support students to achieve a smooth transition from secondary school through increased awareness of post-secondary opportunities and career options.

Implementation

The Associate Dean of the College of Humanities and Sciences (ADCHS) is the contact person at AU and is responsible in ensuring that the requirements of this policy are communicated effectively and are supported by appropriate e-learning facility, administrative arrangements and documentation.

The ADCHS is also responsible in ensuring that the provision of courses is not less than two, and in coordinating with the Ministry of Education on prior approval of courses to be offered through the online dual credit program.

Document History

Version	Date	Update Information	Author/Reviewer
V 1.0	01/11/2020	Initial policy	Vice Chancellor for Academic Affairs

Teaching and Learning Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	May 2023
		Next Review Date	May 2026

Purpose

The Purpose of this policy is to promote teaching and learning at Ajman University with the ultimate aim of fulfilling the mission of the University in providing a learner-centric development journey to its students, and developing well-rounded and career-ready graduates. It also aims to develop and enhance an environment that values excellence in Teaching and Learning.

Statement

AU strives to be recognized internationally as one of the leading universities in the Arab region in terms of cutting-edge learning, impactful research, responsible outreach and community engagement. The Teaching and Learning Policy, overseen and implemented by the Office of Vice Chancellor for Academic Affairs, aims at making significant contribution towards achieving the University's mission of producing well-rounded and career-ready graduates. For this, it focuses on continual enhancement of effectiveness and relevance of its academic programs, up-to-date teaching and learning methodologies, rigorous assessment processes, professional development of its faculty and staff, and provision of adequate student services. The policy implementation is supported by the Teaching and Learning Center (TLC), Office of Information Technology, Center for Career and Professional Development (CCPD), and Office of Institutional Planning and Effectiveness (OIPE). Together, these units work with the colleges and capitalize on AU's commitment to employ innovative and effective teaching and learning methodologies, and provide high-quality infrastructure and facilities along with all relevant support services.

Principles

Following are the principles of teaching and learning that shall help AU reach the highest level of excellence.

- Develop well-rounded and career-ready graduates.
- Maximize opportunities for students to be equipped with the desired set of attributes and a strong sense of responsibility towards society.
- Support students to adapt to the changing employment requirements.
- Provide relevant and up-to-date curricula that will challenge students to take responsibility for their academic progress.
- Encourage students to acquire knowledge through a variety of sources, and promote deep learning.
- Expand lifelong learning programs/opportunities through the offering of micro-credential courses through the CCPD and partner providers.
- Develop students' technical as well as soft skills to promote strong emphasis on hand-on approach, experiential learning, and innovation to enhance employability.
- Encourage the use of new teaching and learning methods by various academic programs to provide students the best opportunities to develop their potential and expertise.
- Develop a comprehensive assessment process for periodic assessment of its academic programs with the ultimate aim of continuous improvement at all levels of teaching and learning.

- Constantly invest in the development of infrastructure and facilities to facilitate students' technology-enhanced learning, as well as students' engagement and participation.

Policy Outline

Six goals were identified to outline AU's approach to achieving the expected level of quality in teaching and learning, and each goal is assigned a number of objectives to ensure the attainment of goals.

1. Enhance the effectiveness and relevance of all academic programs

- a. Meet quality assurance guidelines for all academic programs to maintain their UAE accreditation and obtain international accreditation.
- b. Regularly review and update academic programs, as necessary, to ensure their currency and effectiveness. Also, the programs must be periodically reassessed for their alignment with market needs.
- c. Explore launching new programs that reflect global trends and cater to local and regional market needs.

2. Ensure teaching and learning methodologies are in line with modern trends

- a. Ensure that teaching and learning methodologies are up-to-date and in line with international best practices and standards.
- b. Strengthen support for the Teaching and Learning Center to update faculty's teaching methodologies.
- c. Promote the utilization of digital technology to advance teaching and learning excellence.
- d. Undertake the formation of a "Digital Curriculum Committee" to propose, and later implement, an AU plan for launching and participating in existing MOOC-based courses.

3. Attract high-caliber faculty members

- a. Attract and retain highly-qualified faculty members with proven track record in research.
- b. Adopt a competitive salary structure
- c. Support and enhance faculty development programs
- d. Enhance support for the research centers, promote interdisciplinary research and provide concrete incentives and networking opportunities for faculty members to conduct high-quality research outcomes in collaboration with other academic and non-academic institutions.
- e. Strengthen research infrastructure and resources.

4. Employ comprehensive assessment processes

- a. The Office of Institutional Planning and Effectiveness (OIPE) shall ensure that "closing the loop" is accomplished for all academic programs on a regular basis.
- b. Assessment processes shall be reviewed and updated to ensure their currency.
- c. A number of workshops and seminars shall be organized regularly to train faculty on national and international accreditation processes and assessment methodologies.
- d. Regularly update the assessment software to better assess the learning outcomes.



5. Provide innovative and effective support services to students

- a. Promote the use of online services.
- b. Continue to invest into smart and efficient student information systems including recruitment, admission, advising, and registration.
- c. Eliminate paper-based and manual processes.
- d. Continue to launch smart-phone based applications that satisfy student needs.
- e. Enhance cooperation with strategic partners to provide innovative financing solutions, sponsorship and financial aid to students.
- f. Improve students' digital experience.

6. Increase students' potential for employment

- a. Develop students' 21st century skills and their hands-on expertise.
- b. Strengthen support for Student Success Center to contribute in producing well-rounded and career-ready graduates.
- c. Recruit outstanding students and improve student retention.
- d. Improve academic and career advising as well as placement services.
- e. Provide more opportunities to students for their personal and professional development.
- f. Increase the number of study-abroad and exchange opportunities.
- g. Expand lifelong learning programs/opportunities.
- h. Promote student' involvement in research.
- i. Build a comprehensive career and professional development program.

Policy Control and Implementation

The VCAA shall oversee the policy implementation in collaboration with the Deans of all colleges, TLC, SSC, CCPD, OIPE, CCEE and OIT to provide the resources and appropriate technology to inspire and drive innovative pedagogy within the classroom and beyond, in research, scholarship, and creative activity, with the goal of enhancing teaching and learning at AU.

Role of Teaching and Learning Center

The Teaching and Learning Policy offers broad guidelines that aim to enhance innovative teaching and ultimately improve students' learning. The Teaching and Learner Center (TLC) plays an important role in implementing this policy as it is responsible for collaborating with colleges, departments, and offices to develop and sustain faculty's skills and knowledge in pedagogy and technology of education. The center also designs and implement a wide spectrum of training programs that target faculty (including adjunct and part-time faculty) and teaching support staff. The programs are delivered by in-house and/or external professionals with a proven record of excellence. The TLC's programs cover:

- Curricular and pedagogical innovations, instructional design, and overall development of education.
- Technology-assisted education and online learning.
- Course management, student-instructor communication, and automated assessment techniques.
- Educational media, voice, and presentation skills.

In addition to a dedicated TLC professional team, the TLC, in order to meet its objectives, is supported by the Council for Academic Affairs (CfAA) that includes the Vice Chancellor of Academic Affairs, Executive Director of OIPE, and Deans of all Colleges.

The main responsibilities of TLC include the following:

1. The TLC, based on VCAA directives and in line with the above teaching and learning goals, shall provide colleges with training for impactful teaching strategies and training related to online teaching.
2. The TLC, in collaboration with OIPE, shall evaluate and monitor faculty teaching methods through surveys on Faculty Professional Development Plan (PDP) and Faculty Satisfaction with Improvement in Teaching Methodologies.
3. The TLC shall collaborate with colleges and departments to provide evidence-based and inclusive learning and teaching practices, educational programs and training to their faculty, instructors and teaching assistants.
4. The TLC shall coordinate and manage all agreements with external entities involved in faculty development activities, in collaboration with the Legal Advisor of AU and the Office of the VCAA.

Procedure

1. On a continuous basis, the TLC Manager will coordinate with all AU Colleges to ensure that their Deans are all on board with the Center and its purpose.
2. At the beginning of every academic year, each Dean shall nominate one faculty member (possibly chair of the Faculty Development Committee if available) to be assigned as a TLC Faculty Liaison and the TLC committee member representing his/her college (TLC-FL).
3. At every committee meeting and whenever needed, the TLC-FL in each college will be responsible for identifying faculty members' needs for development and enhancement.
4. In conjunction with College Deans, faculty members who have attended the workshops are required to conduct similar short versions of the workshops attended or seminars in order to convey the experience and knowledge they gained to their colleagues.
5. Every academic year and whenever needed, the TLC manager shall conduct a number of surveys aimed at College Deans and faculty members to collect information regarding their needs for development and to identify possible weaknesses and challenges.
6. At the end of every academic year, the TLC shall review all its activities and, if needed, update its short term and long term plans based on the outcomes achieved and the arising needs of faculty development.
7. The TLC shall always follow up on latest trends and advancement in teaching and learning nationally and internationally and update the VCAA office.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	10/05/2020	New policy	TLC manager
V 1.1	08/05/2023	General updates with minor revisions to align the policy with 2022-2027 strategic plan	Vice-Chancellor for Academic Affairs

Internship Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 2024

Introduction

Internship is a supervised, practical training course for which AU students earn academic credits. It is intended to provide students with opportunities to augment their academic studies with hands-on experience and to put into practice their knowledge and skills. It is also an opportunity for employers to observe students in the work environment to evaluate their knowledge and skills for possible future employment.

Definitions

Office of Career Services (OCS): The Office of Career Services is a central office responsible for monitoring the effectiveness of internships and external training programs by ensuring the implementation of AU policies and procedures by colleges and academic programs.

Intern/Student Trainee: An Intern/Student Trainee is a senior level undergraduate student enrolled in a credited internship/training program.

Internship/External Training: Internship/External Training is a supervised work experience in an approved site for a specified duration that depends on each academic program requirements.

Internship Coordinator: The Internship Coordinator is a faculty member assigned to manage the internship program in the college and/or academic departments and provide guidance and support to Academic Supervisors, Student Trainees and Field Supervisors.

Academic Supervisor: Internship Supervisor or (Academic Supervisor) is a faculty member assigned by the College/Department to supervise a group or groups of Student Trainees and ensure the effective implementation of the internship program.

Field Supervisor: A staff member at the internship site assigned by the internship provider to supervise Student Trainees/Interns by coordinating the assignment of tasks, providing orientation and guidance, monitoring and assessing interns' performance during their internship program.

Internship Credit and Contact Hours

The total credit and contact hours of the internship course vary among academic programs offered by AU (for details please refer to AU Internship Manual).

Compliance with Academic Policies and Procedures

Internship/External Training, like all other credited courses offered in the various academic programs, is conducted in accordance with the academic policies and procedures published in AU Policies and Procedures Manual. These policies and procedures cover the various teaching and learning aspects including attendance, credit transfer, registration, assessment, grading and quality assurance.

Internship/External Training Objectives

- **Apply academic knowledge and theories and gain experience in a real-life work environment**
Internship provides students with the opportunity to put theory into practice and understand learning strategies to cope with the requirements of the real-life work environment.
- **Enhance maturity and professional skills**
Interaction with professionals during internship will enhance students' self-confidence, maturity, and professionalism.
- **Acquire Soft skills needed in the professional work environment**
Internship will help students gain soft skills such as effective communication, critical thinking, leadership, problem solving, and teamwork.
- **Establish professional networks and enhance marketability**
Internship provides a perfect environment for students to meet with and learn from professionals in their career fields, as well as other interns who have similar interests, which can greatly enhance students' chances for future employment.
- **Gain professional feedback**
Internship provides opportunities for Student Trainees to get feedback from professionals who work in the field on a daily basis, which will help students to reflect and enhance their learning strategies.

Internship/External Training Objectives and Benefits for Internship Providers (Companies and Organizations)

Providing internship for students helps providers to:

- Establish partnerships with academic programs leaderships and researchers.
- Obtain fresh input, innovative ideas from talented Student Trainee/ interns.
- Gain additional work force during critical times.
- Developing a pool of talent from which to recruit once interns graduate.
- Give feedback to the university about the knowledge and skills required by their industries and organizations.

Internship/External Training Learning Outcomes

During the internship program, Student Trainees are expected to:

- Apply knowledge and correlate learned theories with professional practice.
- Acquire technical knowledge and skills in their field of specialization.
- Improve their communication skills, both oral and in writing.
- Show initiative and develop self-confidence in handling the assigned tasks in real-life.
- Learn and appreciate the significance of teamwork and act as a responsible member of professional teams.
- Develop their personality by learning about self-control, punctuality, professional responsibility, time management, etc.

Roles and Responsibilities

Office of Career Services (OCS):

The roles and responsibilities of the OCPS are:

- Ensuring proper implementation of the training/internship policies by all academic programs.
- Reviewing and updating training policies and procedures.
- Establishing agreements and partnerships with internship providers.
- Reviewing and updating AU Internship Manual.
- Liaise with colleges/departments for continuous quality enhancement of internship programs.
- Assessing the effectiveness of internship programs in all academic programs and coordinating the development and implementation of remedial and improvement actions.

Internship Coordinator

The Internship Coordinator is responsible for:

- Contacting training providers to obtain their approval for accepting Student Trainees.
- Ensuring that all students are attached to appropriate training sites.
- Coordinating with the Head of Department in assigning Academic Supervisors to Student Trainees.
- Monitoring and overseeing the quality of supervision during the internship period and scheduling oral presentations by Student Trainees at the end of their internship.
- Collecting feedback forms from students and submitting them to the Office of Career Services (OCS) and the Office of Institutional Planning and Effectiveness (OIPE).
- Preparing the ICAR report for the Internship/Training course.
- Collecting feedback from the Academic Supervisors and submitting recommendations to the HoD for continuous quality enhancement of the internship program.

Academic Supervisor:

The roles and responsibilities of the Academic Supervisor are:

- Ensuring that Student Trainees are attached to appropriate training sites.
- Ensuring the safety of Student Trainees at training sites by conducting onsite visits and meetings with the Field Supervisor.
- Ensuring that Field Supervisors are aware of their responsibilities.
- Giving an orientation lecture to Student Trainee before the start of their internship/external training.
- Receiving and reviewing Student Trainees weekly reports and providing them appropriate feedback.
- Contacting Students Trainees regularly to get feedback on the progress of their internship program and resolve any problem or difficulty they might encounter.
- Report to the Internship Coordinator/ Head of Department/Dean any observations or concerns related to the internship program.
- Ensuring that the Field Supervisors are committed to support Student Trainees to achieve their internship learning outcomes.
- Guiding Student Trainees on how to write their internship reports and prepare their oral presentations.
- Ensuring that each Student Trainee submits his/her final report on time as well as scheduling the oral presentations.
- Assessing the performance of Student Trainees and submitting their grades to the HoD/ Internship Coordinator.
- Any other responsibilities given in the college/program training manual.

Field Supervisor

The roles and responsibilities of the Field Supervisor are:

- Coordinate and monitor the daily assignments and tasks given to Student Trainees.
- Ensuring that the internship assignments and tasks given to Student Trainees are in alignment with the internship objectives and outcomes.
- Approving the weekly report filled by Student Trainees.
- Submitting an assessment report of each Student Trainee at the end of their internship program.

Student Trainee/Intern

Student Trainee must read and comply with the points stated in the Responsibilities of Student Trainees section in the training manual of their college /academic program. They should also follow the directions and guidelines provided by their Academic and Field Supervisors.

Performance Assessment/Grading of Student Trainees

Upon completion of their internship period, Student Trainees/interns are awarded a grade based on various assessment tools. The tools used for assessing the performance of Student Trainees may include but not limited to the following:

- Evaluation of the internship report submitted by the intern at the end of the internship period.
- Evaluation of the internal training conducted at the university to prepare students for their external training.
- Evaluation of the student performance at the training site by the Field Supervisor
- Evaluation of the weekly reports submitted by the intern
- Evaluation of the oral presentation given by the intern at the end of the internship period.
- Any other required assessments recommended in the Internship Manual of the college/program Training Manual.

Assessment of the Internship /External Training Effectiveness

An annual effectiveness report on the Internship/External Training course is prepared based on the following assessment tools:

- Training Instructor Course Assessment Report (ICAR)
- Feedback from Student Trainees
- Feedback from Academic Supervisors
- Feedback from Field Supervisors
- Any other tools recommended in the Internship Manual of the college/program.
- Any other tools recommended by the Office of Institutional Planning and Effectiveness (OIPE)

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
V 3.0	08/04/2021	Inclusion of new sections-Internship Credit and Contact Hours; Compliance with Academic Policies and Procedures, and amendment on grading and assessments.	Vice Chancellor for Academic Affairs

E-learning Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Teaching and Learning Center (TLC)
Approved By	Chancellor	Effective Date	Oct. 2021
		Next Review Date	Oct. 2024

Background

This document presents AU Online Learning Policy. While it surely benefits from the experiences that Ajman University has accumulated during the Covid-19 pandemic, this policy is meant to govern and guide our online learning on the long-run. In other words, this policy is meant to serve as AU online learning policy regardless of Covid-19 situation.

Purpose

This policy on distance learning (E-learning) is developed and will be implemented by Ajman University (AU) in order to ensure continuous provision of high-quality and impactful education to AU's students through state-of-the-art online technology without requiring the presence of students on AU's campus. The policy is also applicable to hybrid or Hyflex mode of learning where a group of students attends online lectures while another group attends face-to-face lectures.

Scope

This policy applies to all courses taught through E-learning and hybrid or Hyflex mode of learning, and to the faculty and staff members involved in the development and delivery of such courses.

Statement

Ajman University endeavors to ensure that online or hybrid teaching and learning at the University is in full alignment with the protocols and procedures defined by the Ministry of Education. Specifically, this policy is established to be in full compliance with the CAA Standards for Institutional Licensure and Program Accreditation (2019) in general, and with the stipulations provided in Annex 15: Courses Taught Through e-Learning in particular.

Policy

Planning

AU's e-learning strategy identifies the role of e-learning in the institution's short-term and long-term strategic plans, and its alignment with the educational mission.

As shown below, the E-learning strategy identifies responsibility for the oversight, development, evaluation and support of e-learning education.

- The head of Teaching and Learning Center (TLC) is the coordinator of online learning and responsible of its oversight and development;

- The Office of Institutional Planning and Effectiveness (OIPE) is responsible of periodic evaluation of online teaching and assessment, preparing action plans for continuous improvement, and closing the loop.

The E-learning strategy was developed with the participation of relevant stakeholders including two standing committees with appropriately qualified members:

1. The first committee is the Online Learning Steering Committee. This committee is chaired by the manager of the Teaching and Learning Center (TLC), and includes nine faculty members representing all nine colleges. It also includes a representative of the Office of Information Technology (IT).
2. The second committee is the Council for Academic Affairs (CfAA). This committee is chaired by the Vice Chancellor for Academic Affairs (VCAA) and comprises of the Deans of all nine colleges. The committee meets twice per month and often invites managers of key areas. For example, the manager of TLC and the manager of IT are often invited to discussions that pertain to e-learning.

The E-learning strategy is set to be reviewed annually by AU's leadership, and is subject to a process of continuous improvement based on direct and indirect measurements of performance that includes:

1. Student satisfaction and evaluation surveys (administered every semester)
2. Faculty satisfaction survey conducted annually by the OIPE.
3. Ticket reports and usage reports produced by IT.
4. Regular feedback from Deans, HoDs, faculty, and students.

Learning Resources

AU has developed and currently maintains an effective e-learning environment. AU ensures that the environment provided is adequate to meet the demands of e-learning programs and courses, and of the faculty members and students involved in e-learning.

The Office of Information Technology (IT):

- maintains sufficient internet bandwidth to support the operation of the e-learning environment with bandwidth management service;
- maintains Wi-Fi and LAN connection on-campus;
- ensures that faculty have access to well-trained staff ready to support the operation of the e-learning environment.
- ensures that faculty members teaching in e-learning courses have the necessary equipment, software, communications tools, and internet connectivity on campus to develop and deliver the courses they teach, and to communicate with students;
- provides sufficient technical support to students and faculty to ensure effective access to e-learning programs and courses;
- ensures that all e-learning environments, library resources, and other learning resources are accessible through the internet.

Training:

- The TLC provides training to faculty involved with e-learning programs and courses in the operation of the e-learning platform.
- The office of IT provides training to staff and students involved with e-learning programs and courses in the operation of the e-learning platform;
- Training is complemented with full access to guidelines available at: www.myLMS.ajman.ac.ae;
- The website also provides information for students on how to access courses online.

Learning Environment

The TLC has developed short- and long-range plans for the evaluation of performance, upgrading and enhancement of the e-learning environment.

The office of IT maintains an equipment and software replacement plan and associated budget for the e-learning environment.

Budgeting for Programs

AU specifies in its budget the financial arrangements relating to e-learning programs and courses, including anticipated revenues and expenditures attributable to e-learning operations.

AU provides appropriate budget for maintaining an effective online infrastructure and environment. The Office of Budget and Planning prepares annual budgets in coordination with all stakeholders including the Office of IT and TLC.

Program and Course Delivery

Deans and HoDs, under close supervision of the VCAA, ensure that:

- programs and courses delivered face-to-face or through e-learning/blended learning have the same learning outcomes, and require equivalent rigor and quality of student performance;
- e-learning programs and courses facilitate interaction among students and between students and faculty, in either asynchronous or synchronous modes as appropriate, and maintains an effective and reliable e-learning environment to support this interaction;

The office of IT ensures that all students enrolled in e-learning courses, regardless of their geographical location, benefit from effective access to learner support, including academic advising and tutors. The Office of IT ensures that all the registered students in each course are enrolled in the E-Learning system as well by integrating the registration system, SIS Banner, with the LMS system, Moodle.

Deans and HoDs, under close supervision of the VCAA, assure the integrity of student work in the e-learning environment by taking the following steps to limit the possibility of fraud and academic dishonesty:

- imposing, where appropriate, limited residency requirements such as on-campus examination;
- encouraging faculty to utilize available advanced exam proctoring technology such as Respondus;
- encouraging faculty to utilize available advance examination techniques that ensures the students receive different, yet equal, testing instruments. For example, faculty may pool questions from larger test banks, shovel order of answers in MCQs, and utilize programmed problem techniques that generate different inputs for problems.

Deans and HoDs, under close supervision of the VCAA, ensure that sites used as examination centers have rigorous measures in place to:

- ensure the authenticity of the test taker;
- maintain the security of the test;
- employ up-to-date administrative measures and technological advances to prevent fraud and cheating.

Deans and HoDs, under close supervision of the VCAA, and in coordination with the OIPE maintain appropriate class sizes (student/faculty ratios) in e-learning courses that ensure the effective participation of all students, and for interaction among students and between students and faculty.

Deans and HoDs, under close supervision of the VCAA, evaluate the effectiveness of e-learning programs and courses according to AU's program related assessment and effectiveness, and institutional research.

Faculty

Deans and HoDs, under close supervision of the VCAA, ensure that

- full-time and part-time faculty teaching in e-learning programs meet the requirements of Standard 5 in relation to their qualifications, training and experience;

- all programs are delivered by e-learning has core faculty and support staff who are resident full-time employees;
- decisions concerning e-learning curricula and program oversight involve faculty who are qualified both academically, to teach the subject, and technically, through e-learning skills;
- clearly specifies to faculty the expectations for faculty engagement relating to online teaching and student support;
- adjusts faculty members' workload appropriately to account for time spent in developing and delivering e-learning course or program materials, and in online interaction with students;
- ensures that e-learning faculty located off campus participate in the development and evaluation of e-learning programs and courses.

The TLC, provides faculty with support in instructional design and development of course materials, including, as appropriate, graphic designers, multimedia specialists, programmers, librarians and others;

The TLC provides opportunities for professional development for e-learning faculty, focused on advances in e-learning pedagogy and technology.

Preparation for Courses

The office of IT offers remedial instruction or training programs to enrolled students who lack sufficient information technology skills to succeed in the course.

Admission to Programs

For programs or courses offered wholly or partly by e-learning, the Office of Admission, in close collaboration with the office of IT and HoDs and Deans ensure that:

- students entering the programs are informed of the nature and potential challenges of learning in an online environment;
- students are evaluated to determine whether they have the necessary information technology skills to succeed in an e-learning program;
- students are informed as to the minimum requirements for hardware, software and internet connectivity for the program or course;
- students are informed of the expectations for their participation in the program's or course's online community of learners, including interacting with other students and with faculty or tutors, and the channels through which interaction takes place;
- students are aware of the library and other learning resources available to e-learners, and as necessary receive training in their use;
- students are aware of all support services relevant to e-learning available to them, to include tutoring, academic advising and financial aid;
- students are informed as to what portions of the program require their physical presence, if any, including face-to-face course meetings, tutorials or help sessions, field activities and examinations; and the date, time, location and arrangements provided for these.

Student Records

AU has appropriate security measures to protect the integrity and confidentiality of student data and all course data and analytics within the e-learning platform, and of student information maintained within the comprehensive e-learning environment.

Public Information

The office of IT ensures that AU's website clearly documents which of the courses are delivered in online mode.

The Office of IT hosts the recorded Webinar conducted to students on the IT Support page on AU Website (see <https://www.ajman.ac.ae/en/it-support.html> under Recorded Webinars)

The office of the Registrar, ensures that the student transcripts clearly state that the program delivery mode is online when online courses form 50% or more of a program's credits.

Student Services

As part of AU's commitment to quality education, the university:

- makes all its student services, including career planning services, available to students enrolled in e-learning programs and courses, adapted when necessary to students' local context;"
- ensures that students enrolled in e-learning programs and courses can access institutional publications, including the Catalog and Student Handbook, and official institutional communications from the administration;"
- invites students enrolled in e-learning programs and courses to participate whenever possible in campus events, student activities and student clubs or organizations.

E-learning Manual

AU will develop an E-learning manual that includes:

- expectations of faculty and students.
- an organization chart illustrating the responsibility for e-learning programs and courses, including materials development, program delivery, learner support and evaluation.
- a statement of faculty roles and responsibilities in the development and implementation of e-learning programs and courses.
- information on the mode of delivery adopted by the institution for e-learning programs and courses (e.g., wholly online or blended mode; synchronous or asynchronous interaction among learners; media used for course delivery).
- procedures and processes relating to the continuous development of e-learning materials for the institution, including overall project management, instructional design, content creation, design of assessments, etc.
- assessment policies relating to e-learning, focused on maintaining the integrity of student work in the e-learning environment.
- characteristics of the e-learning environment, including both its hardware and software components.
- the location of physical sites established to support delivery of e-learning programs and courses.
- information on the systems and procedures for security of testing and authentication of examinees.
- copyright and intellectual property policies relating to e-learning materials developed by or for the institution.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	22/03/2020	Initial policy	Vice Chancellor for Academic Affairs
V 2.0	28/09/2020	Minor changes – Spring and summer semester were removed to ensure applicability of policy for future use and added procedure for faculty teaching load related in case of COVID-19 infection or quarantine.	OIPE Executive Director
V3.0	19/08/2021	The policy has been modified to provide the long term E-learning strategies and approaches at AU regardless of the pandemic.	Manager, Teaching and Learning Center

Academic Progress Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Mar. 2023
		Next Review Date	Mar. 2026

Purpose

This policy describes the different issues involved in the follow up of the academic progress of the students at Ajman University (AU).

Definitions

Semester: A semester is a period of time, minimum of 15 weeks, during which an institution offers courses (Fall/Spring).

Term: Some courses may be offered in a time-shortened period, often called a term, such as a summer term, which offers class contact time and out-of-class assignments equivalent to a semester course.

Scope

All AU students.

Policy and Procedures

Course Selection

- Students should select, after consultation with the academic advisor, the courses they wish to register from their study plan before registering these courses.
- The selection process of the courses takes place during both the early registration and the regular registration periods.
- 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 as per the Student Study Mode and Load Policy 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.
- The selection of certain courses for registration becomes mandatory if the student has completed a certain number of credit hours without passing those courses.
- 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. Students with academic warnings/probations and those 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 for undergraduate students:

Student's Academic Standing	CGPA	Minimum Credit Hours	Maximum Number of credit hours
Good Academic Standing	2.0 or higher	9	18*, **
Academic Probation One (AP1)	Below 2.0	9	15
Academic Probation Two (AP2)	Below 2.0	9	12
Academic Probation Three (AP3)	Below 2.0	9	9

- d. Students having AP1, AP2 or AP3 must repeat 3, 6, 6 credit hours, respectively, as per the academic probation policy.

*Students in their final graduation semester or term can register maximum of an additional 3 credit hours.

** Undergraduate students following their accredited study plans with more than 18 credit hours shall register as per their accredited study plan. However, at the time of re-accreditation, all study plans will be updated to ensure that the maximum number of credit hours per semester does not exceed 18 credit hours for full-time students.

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, and 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. This grade does not affect the cGPA calculation.
- 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 Grade

Attendance at the final examinations is compulsory. Failure to attend will result in the student failing the course. However, if a student does not attend the final examination due to an emergency and he/she scored at least a total mark of 30 out of 70 in coursework (tests and midterm examination) the course may be considered as "incomplete."

Acceptable evidence for failure to attend a final examination due to an emergency consists of the following.

- illness certified in a medical report approved by the University Clinic;
- death certificate of a first or second degree relative;
- arrest or summons before a court or other legal body;
- other excuses accepted by the College Council

- a. The request must be made to the Registration Department within 72 hours after the date of the exam.
- b. 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.
- c. 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.
- d. The request is accepted when the approvals are granted.
- e. A student whose course result is “incomplete” must take the final examination before the end of the first week of the following semester in which he/she registers, as shown in the academic calendar, otherwise grade (F) will be obtained.
- f. The Grade obtained in a course for which Incomplete Grade was accepted, is not subject to Grade Complaint.

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.

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 student must meet 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 probation. The hold is temporary and can be removed by signing the required College undertaking, and if the academic probation is not the last 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. A copy of the notification will be sent to the student's sponsor, if any, student academic advisor, and SSC.

APPENDIX

I: English Proficiency Levels

The Office of Registration 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	All Programs			Medicine		
Percentage	Grade	Grade Point	Merit	Grade	Grade Point	Merit
From 90 to 100	A	4.0	Excellent	A	4.0	Excellent
From 85 to 89	B+	3.5	Very Good (High)	B+	3.5	Very Good (High)
From 80 to 84	B	3.0	Very Good	B	3.0	Very Good
From 75 to 79	C+	2.5	Good (High)	C+	2.5	Good (High)
From 70 to 74	C	2.0	Good	C	2	Good
From 65 to 69	D+	1.5	Pass (High)	F	0	Fail
From 60 to 64	D	1.0	Pass			
Less than 60	F	0	Fail			
N/A	XF	0	Fail (Academic Integrity Violation)	XF	N/A	Fail (Academic Integrity Violation)
N/A	T	N/A	Transfer	T	N/A	Transfer
N/A	IP	N/A	In Progress	IP	N/A	In Progress
N/A	I	N/A	Incomplete	I	N/A	Incomplete
N/A	S	N/A	PLAR (Prior Learning Assessment and Recognition)	S	N/A	PLAR (Prior Learning Assessment and Recognition)

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 $GPA = 54/18 = 3.0$.

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:

$$CGPA = (\text{Total of the grade points of each course} \times \text{credit hours}) / \text{total credit hours taken}.$$
- 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 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 (2.5 for the College of Medicine) and a CGPA of at least 3.0 for Graduate programs.

Notes:

- 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. Students who are under academic probation have to abide by the load specified in the relevant Academic Probation Policy.
- The student who completed all the above graduation requirements can receive the graduation certificates, transcript, diploma (wall certificate), or any other related letter of graduation. A student can only obtain his/her graduation documents after his/her clearance has been approved by the college and the concerned offices. Such clearance can't be approved if s/he has dues towards Ajman University. Ajman University is entitled to withhold the graduation certificates, the transcript, the diploma (wall certificate), and any other letter or certificate, if s/he does not fully honor his/her obligations towards Ajman University, including financial commitments or dues.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
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)	Office of the Vice Chancellor for Academic Affairs
V 2.2	13/04/2021	Updated the study load as per the CAA Standards 2019	Council for Academic Affairs
V 2.3	18/11/2022	Minor update on clearance approval process	Office of Registrar
V 2.4	06/03/2023	Minor changes related to the academic probation policy amendments	Office of Vice Chancellor for Academic Affairs

Grading and Assessment Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	May 2022
		Next Review Date	May 2025

Purpose

This policy describes how student performance is assessed, and how final grades are recorded on the University system by the Office of Admission and Registration (OAR).

Course Grading Scale Setup

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

Grading Process

- On completion of each grading component (a quiz, an assignment, tests, and 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.
- The Instructor can modify/review the grade of any component at any time before submitting the grade to the OAR.
- Once the grades are submitted to the OAR, any changes to the grades will have to be processed using the Grade Modification procedure given below.

Grade Submission

- The Instructor is required to submit the grades to the OAR after having ensured that the grades for all students have been entered. No cell is left blank on the grade sheet.
- The Instructor should share the grades with the Head of the Department and the Dean of the College to get them approved. Once approved, the grades are entered through the University assessment Sharepoint.
- If OAR finds any blank cells in the grades entered by the Instructor on the SIS, then the college's secretary will be notified immediately to notify the Instructor for correction.
- If the OAR finds no discrepancies in the course Grades, then the electronic copy is certified/locked, And the grades automatically rolled to the student's transcript.

- e. 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 an e-request for Grade Appeal in a course at the Online Request System (ORS) during the Period shown in the academic calendar (the next two weeks after the announcement of the results).
- b. The OAR send 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 send back the e-request with his decision to the OAR for action, an automatic notification will be sent informing the student of the decision.
- e. The student cannot introduce another Grade complaint about 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 the Department will investigate the Appeal made by the student by reviewing the grades left by the Instructor and the answer sheet of the Final exam of the student.

Copies of Final exam papers

- a. Each Instructor should hand back the answer sheets of the students to the Head of Department to be kept 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

The Instructor is expected to submit the Grades to the OAR within 96 hours from the date of the Final Exam.

Schedule of the Final Exam

- a. The Length of the Final Exam is 90 minutes 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 for all Undergraduate Programs and Medicine:

All Programs				Medicine		
Marks	Grade	Grade Point	Merit	Grade	Point	Merit
90-100	A	4	Excellent	A	4	Excellent
85-89	B+	3.5	Very Good (High)	B+	3.5	Very Good (High)
80-84	B	3	Very Good	B	3	Very Good
75-79	C+	2.5	Good (High)	C+	2.5	Good (High)
70-74	C	2	Good	C	2	Good
65-69	D+	1.5	Pass (High)	F	0	Fail
60-64	D	1	Pass			
Less than 60	F	0	Fail			
N/A	XF	0	Fail (Academic Integrity Violation)	XF	0	Fail (Academic Integrity Violation)

The university adopts the following grading system for graduate programs:

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

Notes:

- The course passing grade for Undergraduate programs is (D) except for MD is (C)
- The course passing grade for Professional Postgraduate Diploma in Teaching program and Master programs is (C).
- The qualified passing grade for Doctorate courses is (B).

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
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
V 3.0	18/04/2021	Amended Course Grading Scale, Procedure for Grade Modification, Submission of the Final Grades and Schedule of Final Exam	Vice Chancellor for Academic Affairs
V 3.1	11/05/2022	Course assessment - reverted back to pre-pandemic grade distribution	Vice Chancellor for Academic Affairs

Policy on Assessment Turnaround Time and Feedback to Students

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Mar. 2021
		Next Review Date	Mar. 2024

Purpose

This policy is established to clearly define the turnaround time for assessment marking and providing feedback to students.

Scope

This policy is applicable to all academic colleges at Ajman University.

Policy Statement

Expectations for the maximum turnaround time for all assessment marking and providing feedback to students in taught programs at AU is fifteen working days from the date of assessment / deadline for submission of work, applicable to both formative and summative forms of assessment. This duration may be reduced in order to comply with any relevant requirement or an official deadline. Any unavoidable exceptions such as those related to external examiners, or those related to cases under investigation by a disciplinary committee should be notified to the Head of Department (HoD) by the course instructor.

Mechanism on Monitoring Compliance with the Policy on Maximum Turnaround Time

For each taught program at AU, HoD of the concerned program is responsible for ensuring compliance with the policy on maximum turnaround time for all assessment marking and providing feedback to students. For each course, the instructor must provide a compliance report in a template that is given below. During each semester, two compliance reports should be submitted to the office of the concerned HoD – first before the official beginning of the mid-term examination and second before the official beginning of the final examination. Any exception with acceptable reason as agreed with the HoD should also be included in the report.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	01/03/2021	Initial policy	Council for Academic Affairs

Grade Entry Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Vice-Chancellor for Academic Affairs
Approved By	Chancellor	Effective Date	March 2023
		Next Review Date	March 2026

Purpose

All students have the right to know their grades during different assessment periods across the regular semester to know their academic progress and make the appropriate decision regarding the course. This allows the AU academic support team to provide the necessary academic support for students who may need it. This policy specifies the basic regular semester deadlines for students' grade entry.

Scope

All AU course instructors must abide by this policy.

List of Related Policies

Grading and Assessment Policy, Student Grade Appeal Policy, Policy on Double Marking and Moderation.

Semester Assessment Periods

Every regular semester is divided into four assessment periods as follows:

Assessment Period	Grade Weight	End of the Period
1 st Period	30%	End of Week 8
2 nd Period	20%	End of Week 11
3 rd Period	20%	End of Week 15
4 th Period	30%	Week 16

Periods 2 and 3 can start at any time of the semester. The midterm exam component of period 1 should not be started before week 7, and period 4 should not be started before week 16.

Grade Entry Deadlines

Grades are assigned by the instructor to reflect the quality of a student's work. Course instructors must submit the students' semester grades through the student academic records systems (Banner) in a timely manner according to the following deadlines:

Item	Grade Weight	Percentage of Cumulative Entered Grade	Dean's Approval	Deadline (Last Due Date)
				Regular Semester
Midterm exam grade and grades of other semester activities in the first half of the semester (e.g. quiz 1)	30%	30%	Not Required	End of Week 9
Grades of the semester activities in the second half of the semester (e.g. quiz 2, assignments, practical/tutorial activities)	20%	50%	Not Required	End of Week 12
Grades of the semester activities in the second half of the semester (assignments, projects, presentations, practical/tutorial finals)	20%	70%	Not Required	End of Week 15
Grade of the theory final exam	30%	100%	Required	Within 48 hours after the exam

The Office of Registration should communicate with the course instructors, no later than one week after the first day of classes, the exact dates of deadlines in every semester for grade entry to the student academic records systems (Banner).

Grade Modification

The course instructor may make changes or corrections to grades after have been entered to the system. Once the grades are submitted to the Office of Registration, they will become final and no changes are allowed. A faculty may request a correction of a grade to the Office of Registration via College Dean only if a clerical or procedural error was made in assigning, transmitting, or recording the original grade. A grade may not be changed for the reason of re-evaluation, re-examination, late work submission or the submission of additional work. Any grade modification must have the approval of the college dean. No grade may be changed after two weeks of the official announcement of the semester results.

Student Grade Appeal

Any complaint or appeal of a grade should be limited to procedure, e.g., grade entry error or failures to follow grading policies. All grade appeals are mandated by the Student Grade Appeal Policy.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	08/03/2023	Initial Policy	Vice-Chancellor for Academic Affairs

Policy on Double Marking and Moderation

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Mar. 2021
		Next Review Date	Mar. 2024

Introduction

At the time of institutional accreditation of Ajman University by UK-based Quality Assurance Agency (QAA), one of the three requirements made to the University was to extend the use of double marking and moderation to include all summative assessments. The University formed a task force to prepare an action plan for this requirement. Based on the submitted action plan, another Committee was formed to develop practical guidelines for faculty to assist them in implementing the action plan. The policy and guidelines prepared by these Committees, and approved by the Council for Academic Affairs, are presented in this document.

Scope

This policy is applicable to all academic colleges at Ajman University.

Definitions

Double Marking: It is the assessment of students' work by two or more examiners (markers) with each one making his/her own judgement. Double marking is applicable on assessments that are more subjective in nature and differences of opinion are probable. For example, assessment of a graduation project, thesis, dissertation, report, oral presentation, demonstration of practical work or other similar assessment instruments.

Moderation: It is a process intended to ensure that the criteria of assessment are applied consistently, accurately and fairly across the whole distribution. It is applied on assessments that are more objective in nature. Some main examples are laboratory reports, midterm and final examinations. In contrast to double marking, the moderator shall select a random sample of scripts marked by the marker (or the examiner) and determine whether the sampled scripts have been marked consistently, accurately and fairly.

Policy Statement

In order to ensure high standards of assessment and reliable processes that are applied consistently to assess students' work in degree programs, Ajman University shall apply either double marking or moderation or both as appropriate for all summative assessments that account for 20% or more grade in a course. Double marking is recommended for assessments that are more subjective in nature, such as assessment of a graduation project, report, thesis or dissertation, presentation or demonstration of practical work, etc. Moderation is preferred for assessment tools such as written examinations, including midterm and final examinations.

The Program Coordinator/Director or Head of Department (HoDs) of a program is responsible, as per the decision of individual College Deans, for ensuring consistent implementation of this policy by all faculty members. The Dean may officially assign this responsibility to a particular committee as well, especially for graduate programs.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	01/03/2021	Initial policy	Council for Academic Affairs

Independent Study Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Mar. 2021
		Next Review Date	Mar. 2024

Purpose

Independent Study is an opportunity for students to earn academic credit for learning outside the formal class structure, under the individual supervision of a faculty member. It enables a student to undertake a learning opportunity which is otherwise unavailable, for the purpose of facilitating students' completion of a program's degree requirements.

Statement

Independent Study

- AU allows a maximum of one course of Independent Study towards fulfilling the undergraduate degree requirements, **and only in rare cases**. Any exception to more than one independent study course requires prior approval of the CAA.
- Independent Study is not permitted for graduate programs.
- Independent Study courses must have an appropriate learning plan (typically a syllabus), learning outcomes, end of term evaluations and appropriate assessment.
- The Independent Study course must be approved by the academic advisor and the Head of the Department/Dean.
- For an undergraduate student to be eligible for a course to be taken as Independent Study, the student must have passed any prerequisites.
- Only AU faculty members may supervise a course to be taken as Independent Study.
- Registration for Independent Study courses must be done in the same period as all other courses.

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	Vice-Chancellor for Academic Affairs
V 1.3	30/03/2021	Amended in accordance with the CAA Standards 2019	Council for Academic Affairs

Class Size Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

AU is committed to 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. This policy also applies to courses taught through e-Learning.

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	45 - 60	20	30	18	25-30

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

Colleges	Programs						
	MBA ¹	MOL ²	MSc Pharm ³	MSc /Dent ⁴	MSc. / UD ⁵		PDT ⁶
Business Administration	25						
Law		20					
Pharmacy			20				
Dentistry				12			
College of Architecture, Art and Design					Theory	studio	
					25	15	
College of Humanities and Sciences							Theory
							25
Class Size	25	20	20	12	25	15	25

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.
- 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
V1.2	19/09/2020	Minor change – Correction on class size for law program	OIPE Executive Director
V1.3	20/10/2020	Minor change – added applicability of the policy to courses taught through e-learning	OIPE Executive Director

Minimum Class Size Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Sep. 2020
		Next Review Date	Sep. 2023

Policy Statement

Ajman University does not define a minimum number of students to offer a required course as per the study plan because a postponement of offering such course would impact the progression of students and their on-time graduation. For elective courses, the minimum class size is specified as 10 for undergraduate classes and 5 for graduate classes. However, in exceptional cases, the class size can be less than that with prior approval of the VCAA.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	15/09/2020	Initial policy	Council for Academic Affairs

Academic Probation Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Vice-Chancellor for Academic Affairs
Approved By	Chancellor	Effective Date	Feb 2023
		Next Review Date	Feb 2026

Purpose

This policy specifies the terms and conditions in handling academic probation of undergraduate and graduate students at Ajman University (AU).

Scope

All AU programs.

List of Related Policies

Academic Progress Policy; Academic Advising Policy; Student Success Center Policy; Counseling Policy.

I. Academic Probation for Undergraduate Students

At the end of any regular semester a student seeking an undergraduate degree must maintain a cumulative Grade Point Average (cGPA) of 2.0 or above to be considered in a good academic standing.

- If the student's cGPA is below 2.0 during his/her first regular semester (fall or spring semesters), he/she receives an Academic Warning after the end of the student's first regular semester. The academic warning is an academic alert to notify the students with their academic performance and to the AU academic support team to provide the required support.
 - The student will be under academic mentoring and monitoring programs to provide a full support to the student, academically through the Student Success Center (SSC) and non-academically via the Counseling Unit (CU), and to closely evaluate the student's academic progress by his/her academic advisor and course instructor(s) with an objective to raise the cGPA to 2.0 or above.
 - The student's academic advisor approves the list of courses the student can register for. Courses with F, D, or D+ grades are preferably repeated if they are offered in the spring semester or summer term.
 - The academic warning is not recorded on the student's transcript.
 - If the student's cGPA remains below 2.0 after his/her second regular semester, he/she will be continued in the academic warning status and under academic mentoring and monitoring programs.
 - The student, his/her academic advisor, and sponsor (if any) are notified about the student warning status. The student's sponsor (if any) will also be provided of the student's academic transcript via email if they request.
- If the student's cGPA is below 2.0 after completing three regular semesters or after he/she has been in good academic standing beyond the third semester, he/she receives an **Academic Probation One (AP1)** and is placed on academic probation by the Office of Registration.
 - The student, his/her academic advisor, and sponsor (if any) are notified about the student probation status. The student's sponsor (if any) will also be provided of the student's academic transcript via email if they request.
 - The student status will be updated on his/her transcript.

- c) The student will be under academic mentoring and monitoring programs to provide a full support academic to the student academically through Student Success Center (SSC) and non-academically via the Counseling Unit (CU).
 - d) The study load of the student with AP1 is restricted. A student can register for a maximum of 15 credit hours (C.H.), of which at least three credit hours are repeated (the priority of repeated courses is given for courses with F, D, or D+ grades). The academic advisor approves the list of courses the student should register for.
- 3. If a student fails to raise his/her cGPA to 2.0 or above at the end of the semester subsequent to the Academic Probation One (excluding the summer term/semester), he/she will receive an **Academic Probation Two (AP2)** and is placed on academic probation by the Office of Registration.
 - a) The student, his/her academic advisor, and sponsor (if any) are notified about the student probation status. The student's sponsor (if any) will also be provided of the student's academic transcript via email if they request.
 - b) The student status will be updated on his/her transcript.
 - c) A student with AP2 can register for a maximum of 12 credit hours, of which at least six credit hours are repeated (the priority of repeated courses is given for courses with F, D, or D+ grades). The academic advisor approves the list of courses the student should register for.
 - d) If the student receives AP2, the college evaluates the student's academic record, his/her ability to continue studying in the major to reach a good academic stand, and the feasibility of raising the student's cGPA to at least 2.0 by the end of the following semester. The council should take the appropriate decision, either to continuing his/her studies or changing the major.
- 4. If a student fails to raise his/her cGPA to 2.0 or higher at the end of the semester subsequent to the Academic Probation Two (excluding the summer term/semester), he/she is issued an **Academic Probation Three (AP3)** and is placed on academic probation by the Office of Registration.
 - a) The student, his/her academic advisor, and sponsor (if any) are notified about the student probation status. The student's sponsor (if any) will also be provided of the student's academic transcript via email if they request.
 - b) The student status will be updated on his/her transcript.
- 5. If a student receives an AP3 but his/her cGPA is 1.7 or greater and has completed at least 70% of the program total credit hours, he/she will be given a chance for two regular semesters to raise the cGPA to 2.0.
 - a) The study load of the student is restricted to a maximum of 9 credit hours, of which at least six credit hours are repeated (the priority of repeated courses is given for courses with F, D, or D+ grades).
 - b) The academic advisor approves the list of courses the student should register for.
 - c) If the student's cGPA remains below 2.0 at the end of the two-regular-semesters period, and he/she is issued a final Repeated Academic Probation Three (RAP3). The student with RAP3 cannot continue in the major, and his/her situation will be evaluated by the College Council with only two options:
 - d) change to another major, provided that he/she meets the admission requirements of that major; or
 - e) academically dismissed from the University.
 - f) The student, his/her academic advisor, and sponsor (if any) are notified about the student probation status. The student's sponsor (if any) will also be provided of the student's academic transcript via email if they request.
- 6. If a student receives an AP3 and he/she falls under one of the following categories:
 - a) has completed at least 70% of the program total credit hours but his/her cGPA is less than 1.7; or
 - b) has not completed at least 70% of the program total credit hours and his/her cGPA is less than 2.0,

If the student falls under one of the categories 6a or 6b, the College recommends one of the following options:

- i. change to another major in another College, provided that the student meets the admission requirements for that major; or
- ii. academically dismiss the student from the University.

The following table summarizes the various academic warnings and probations and their effects on the student's study load:

Warning/Probation Type	Issue Semester	Study Load	Repeated
Academic Warning	After 1 st and 2 nd Regular Semesters	Advisor's Approval	
Academic Probation One (AP1)	After 3 rd Regular Semester	15 C.H.	3 C.H.
Academic Probation Two (AP2)	After Regular Semester Subsequent to AP1	12 C.H.	6 C.H.
Academic Probation Three (AP3)	After Regular Semester Subsequent to AP2	9 C.H.	6 C.H.

II. Academic Probation for Graduate Students

At the end of any regular semester a student seeking a graduate degree must maintain a cGPA of 3.0 or above to be considered in good academic standing.

- In case a student's cGPA drops below 3.0 by the end of a given semester, he/she receives an **Academic Probation One (AP1)** and is placed on academic probation by the Office of Registration. The student, his/her academic advisor and sponsor (if any) are notified about the student probation status. The student's sponsor (if any) will also be provided of the student's academic transcript via email if they request. The student status will be updated on his/her transcript. The student may be allowed to register for courses in the subsequent semester (with the approval of his/her advisor) so that he/she may raise the cGPA to 3.0 points or above.
- If the student fails to raise his/her cGPA to 3.0 or above at the end of the regular semester subsequent to the **Academic Probation One (AP1)**, he/she will receive an **Academic Probation Two (AP2)** and the College (depending on his/her academic progress) may either give him/her one last chance or recommend his/her dismissal from the program.
- A student with AP2 will only be allowed to register courses (up to 6 credits) with the approval of his/her advisor. If the student with AP2 fails to raise his/her cGPA to 3.0 or above, he/she will be dismissed from the program without any chance for repetitoning.

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
V1.2	14/04/2021	Updated academic probation and warning conditions	Vice Chancellor for Academic Affairs
V1.3	27/02/2023	Updated academic warning and probation conditions	Vice Chancellor for Academic Affairs

Course File Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Jan. 2021
		Next Review Date	Jan. 2024

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 most recent previous offerings of the course, including any summer session offerings;
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. student assessment data;
7. 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;
8. quantitative analysis of student performance including individual student grades, both cumulative and for each assessment, and grade distribution;
9. summary of student feedback on the evaluation of the course;
10. instructor's proposals for any course improvements;
11. summary of actions taken to improve 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, according to the template developed by the Office of Institutional Planning and Effectiveness in compliance with CAA Standards, Annex 16.
- 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
V 1.2	11/01/2021	Minor change – updated as per CAA Standard 2019	Vice Chancellor for Academic Affairs

Course Syllabus Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of the VCAA
Approved By	Chancellor	Effective Date	Oct. 2021
		Next Review Date	Oct. 2024

Purpose

The policy provides guidelines for developing syllabi of all courses offered by Ajman University. These guidelines are based on the requirements of the CAA *Standards* 2019.

Scope

This policy applies to faculty, staff and administrators involved in curriculum development.

Statement

For each course offered by Ajman University, it shall provide a comprehensive syllabus, containing sufficient information to ensure that:

- those involved in curriculum development understand any pre-requisites or corequisites, and the learning outcomes of the course;
- students and external reviewers understand the course's contribution to the program and its connection to other courses in the curriculum;
- students who take the course understand what they need to have achieved in order to take the course, what will be expected of them during the course, and what outcomes they will have achieved having successfully completed the course;
- sufficient information on the course is available for the purposes of course and program review (program effectiveness).

Each course syllabus should include:

- course title and course code/number;
- credit hours (or equivalent);
- pre-requisites (if any) and co-requisites (if any);
- name and contact information of instructor(s);
- brief course description (as in the Catalog);
- intended learning outcomes of the course;
- linkage and contribution of course learning outcomes to the program outcomes;
- course topics and contents on a week-by-week basis, including sessions for assessments;
- scheduling of laboratory, studio, external visits 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 methods, including any use of online instruction;
- course texts and recommended readings listed in standard bibliographic detail, and any other learning resources.

E-Learning

If the course is offered online, a separate section must be added to the course syllabus. This must include:

- 1) Changes in course assessment strategy, if applicable.
- 2) Clear description of learning delivery mode including as a minimum:
 - a. A clear indication on whether the course is offered on synchronous or asynchronous basis.
 - b. How to access course materials (including library and databases, if applicable).
 - c. Faculty-student communication venues outside designated teaching hours (e.g., virtual office hours).
- 3) On-campus activities (e.g. lab or examinations), if applicable.
- 4) An active link to general guidelines on E-learning available on the University's website.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	21/06/2021	New Policy	Vice-Chancellor for Academic Affairs
V 1.1	06/10/2021	A new section for E-learning was added	Vice-Chancellor for Academic Affairs

Course Substitution Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of Registration
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

This policy specifies the requirements and the process of course substitution at Ajman University (AU).

Scope

The policy applies to courses offered in both undergraduate and graduate programs.

Definitions

Course substitution: A course substitution allows replacement of a course in place of a required course in a curriculum, provided the substituted course meets the content requirement of the original course.

Policy

All AU students are expected to complete the degree as per their approved study plan; however, under exceptional circumstances, the course substitution policy can be applied if the following conditions are met:

1. Course offered as a substitute is substantially equivalent to the required course in the study plan.
2. Course offered as a substitute must be equal to or greater in credits and level than the required course.
3. The required course is not offered during the current semester.
4. The student satisfies the prerequisite(s) for the substituted course.
5. Student's graduation will be delayed if the substituted course is not taken in the absence of the required course offered during that semester.

Procedure

The following procedure will be followed for course substitution:

1. After the Academic Advisor has ascertained that a course substitution is required, and the substituted course satisfies the substitution requirements as mentioned above, the Academic Advisor will initiate the Course Substitution e-request on ORS, and mention the names and codes of two courses (required and substituted) in addition to justifying the substitution.
2. The course substitution request shall be approved by the HOD.
3. The College Dean may approve or reject the request or will discuss the request with the HOD/Academic Advisor. If approved by the Dean, the request will be forwarded to the Office of Registration with all relevant documentation for implementation.
4. The Office of Registration will ensure that Course Substitution e-request is properly filled and approved by the Academic Advisor, HOD and the College Dean. The request approval will be saved for records.
5. The substituted course with its course code, name, credit hours, and grade will appear on the student transcript.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	28/09/21	Initial Policy	Office of Admissions and Registration

Intensive Modes of Course Delivery Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Sep. 2022
		Next Review Date	Sep. 2025

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
V 1.2	05/09/2022	The policy has been reviewed and no changes were made	Vice Chancellor for Academic Affairs

4. Research and Scholarly Activities



جامعة عجمان
AJMAN UNIVERSITY

DRGS Research Strategy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Deanship of Research and Graduate Studies (DRGS)
Approved By	Chancellor	Effective Date	March 2023
		Next Review Date	March 2027

Introduction

Ajman University (AU) recognizes the importance of research in driving innovation, contributing to knowledge creation, and addressing pressing challenges. As part of its 2022-27 strategic plan, Ajman University has identified research as one of its key strategic goal, with a focus on developing a vibrant research culture. To achieve this goal, the University's Deanship of Research and Graduate Studies (DRGS) will lead the implementation of a comprehensive research strategy that prioritizes building a strong research infrastructure, fostering a supportive research environment, increasing research productivity and impact, enhancing international collaborations, and supporting graduate research. The University aims to become a hub for high-quality research that addresses local and global challenges and contributes to the country's development.

DRGS Vision

The DRGS will achieve worldwide recognition of excellence for AU graduate programs, research, and scholarly work by providing strategic leadership and comprehensive support to faculty, graduate students, and the external community.

DRGS Mission

The DRGS is committed to promoting excellence in graduate studies and research through its well-defined policies, efficient procedures, and funding mechanisms as well as support for developing effective partnerships and collaborations with academic and non-academic institutions locally, regionally, and internationally.

AU Research Strategy

Ajman University considers research a significant part of University's purpose and accordingly places strong emphasis on impactful research and scholarship. One of AU key strategic goals is to enhance the quality, relevance, and impact of research and intellectual contribution by its faculty and students. AU's commitment to research, scholarship, innovation, and creative activity is reflected through provision of appropriate physical, fiscal, and human resources. The main goals of AU research strategy are to foster a vibrant and stimulating research ecosystem at the University, and to increase the number of faculty members publishing in peer-reviewed high-quality Scopus indexed journals and conferences. The main objectives, as described below, supports and promotes research and scholarly activities directed towards the creation, integration, and application of knowledge:

1. Nurture and promote a culture of research and scholarly activities across all disciplines at faculty, and student levels.
2. Increase external research partnerships and funding and to establish concentrations of researchers and resources, to develop key research areas of national and international importance in the university.
3. Improve the research infrastructure and resources at AU to promote research across all disciplines.

4. Recruit outstanding graduate students through scholarships.
5. Provide incentives for faculty members to conduct high-quality and high-impact research.
6. Promote principles of sustainability and nurture a culture of the shared responsibility of mankind to preserve planet Earth for future generations.

Considering the importance of the research, AU's Strategic Goal 2: *Enhance research quality and impact* particularly focuses on research and its impact. The main objectives of this strategic goal and key initiatives, in line with the above-mentioned research strategy, are as follows:

Main Objectives	Key Initiatives
[1] Nurture and promote a culture of research and scholarly activities across all disciplines at faculty, and student levels.	• DRGS is committed to supporting and fostering the growth of research within the University through its AU funded internal research grants program. The Internal Research Grants and Multidisciplinary Research Grants provide opportunities for faculty members to develop their research projects and initiatives. University is encouraging multidisciplinary research grants by supporting large scale and higher budget projects in the university. These grants aim to enhance the research productivity and quality of work within the University and create opportunities for collaboration with international universities and research institutions. • The Research Travel Grant (RTG) initiative offered by the DRGS serves as a platform for faculty members to access research resources and facilities not available at AU. This initiative aligns with AU's Strategic Goal #2 of Enhancing Research Quality and Impact by enabling faculty to conduct collaborative research, establish and nurture partnerships with top-ranked international universities and institutes, and increase the likelihood of submitting proposals for external research grants. The RTG initiative aims to promote research productivity at AU and support the development of high-quality, peer-reviewed publications. The grant enables faculty members to travel to partner institutions and use their research facilities and resources, which in turn leads to the establishment of collaborative research projects and a strengthened network with international partners. • The Research Release Time (RRT) initiative at AU through the DRGS is aimed at fostering a supportive research environment for its faculty. This initiative aims to increase research productivity and scholarly outputs by providing an opportunity for AU faculty to produce more research outputs that contribute to the mission and vision of the university. • The University is also rewarding faculty members who publish scholarly papers in top indexed journals, with international collaborators and received significant number of citations. This reward system aims to encourage and recognize faculty members who publish in high quality

Main Objectives	Key Initiatives
	journals and engage in high-impact research collaborations with international partners. • The Graduate Assistantship initiative aims to recruit outstanding graduate students in the graduate programs and to support the growth and development of graduate programs in the university. By offering financial support and opportunities for research and professional development, the initiative seeks to increase enrollment in graduate programs at AU and to produce graduates who are well-informed, creative, and highly skilled. • The Visiting Research Scholar (VRS) Initiative at AU aims to enhance the university's intellectual and research endeavors by attracting exceptional research scholars from around the world. This initiative provides a platform for the university to establish meaningful connections with top-class international researchers and to foster collaborations for joint research projects. • DRGS is promoting research and scholarly activities by supporting faculty publications in open access journals. The goal of this initiative is to increase the visibility, impact, and citations of the research published by AU researchers by making it freely available online.
[2] Increase external research partnerships and funding and to establish concentrations of researchers and resources, to develop key research areas of national and international importance in the university.	• One of the objectives of the research strategy is to increase external research partnerships and funding. The University recognizes the importance of building strong partnerships with external organizations to promote collaboration and advance research and innovation. To achieve this goal, the University has developed a policy and set of procedures for securing external grants and providing faculty with all the opportunities to target external research grants. The University also established Office of International Academic Affairs (OIAA) that support all academic colleges to establish international academic partnerships, assess their effectiveness and monitor progress and outcomes of such partnerships. The University provides support to faculty members and researchers in securing external grants and to identify potential partners, and provide necessary training and mentorship to help them prepare competitive grant proposals. The University also provides incentives to faculty members who secure external research grants. • The DRGS is committed to advancing cutting-edge research that addresses pressing global challenges and promotes a culture of academic excellence and identify and develop areas of national and international significance in the university. To achieve this DRGS has established several key initiatives, one of which is the establishment of AU Research Centres. These centres are designed to bring together researchers from a variety of disciplines and backgrounds, fostering interdisciplinary collaboration and knowledge exchange. The objectives of these centres are clear and far-

Main Objectives	Key Initiatives
	reaching. By identifying and establishing concentrations of researchers and resources, AU aims to develop key research areas of national and international importance, aligning research outputs and efforts of faculty in a focused direction. Additionally, these centres are expected to encourage the pursuit of research excellence in key areas, and boost research productivity at the university.
[3] Improve the research infrastructure and resources at AU to promote research across all disciplines.	• The DRGS is committed to supporting and fostering the growth of research and research infrastructure within the University through its research centres and internal funding programs. AU research centres are instrumental in developing research labs within the university. The internal research grants including multidisciplinary research grants provide opportunities for faculty members to develop their research projects and initiatives. These grants aim to enhance the research productivity and quality of work within the University and create opportunities for collaboration with international universities and research institutions. • Ajman University recognizes that sufficient research budget allocation is crucial to support high-quality research. The University is committed to providing adequate funding to support research, and this budget is used according to well-defined policies and procedures. The budget is allocated based on the guidelines set by the Commission for Academic Accreditation (CAA) and is determined through an inclusive and intensive internal process every academic year at the University. The DRGS ensures that sufficient budget is allocated for all research-related initiatives. The budget allocated for research and graduate studies is designed to support a wide range of initiatives, including funding for research projects, conference attendance, publication fees, teaching release, research equipment, graduate scholarships, to name few. The University also encourages faculty members to seek external funding opportunities to supplement the internal funding provided by the University. The budget allocation process is conducted in a transparent and accountable manner, and is designed to ensure that funding is allocated to the most promising research projects and initiatives that align with the University's strategic goals. The budget allocation process is also designed to ensure that the University's funding resources are used efficiently and effectively to achieve the best possible outcomes.
[4] Recruit outstanding graduate students through scholarships	• The Graduate Assistantship initiative aims to recruit outstanding graduate students in the graduate programs and to support the growth and development of graduate programs. By offering financial support and opportunities for research and professional development, the initiative seeks to increase enrollment in graduate programs at AU and to produce graduates who are well-informed, creative, and highly skilled. The objectives of this initiative are twofold: to

Main Objectives	Key Initiatives
	increase the research outputs of AU and, to provide support to graduate faculty in their research. The importance of the Graduate Assistantship initiative to the Deanship of Research and Graduate Studies is significant, as it helps to promote the university's graduate programs and attract talented students who are interested in pursuing advanced degrees. Furthermore, by providing support to graduate faculty in their research, the initiative helps to enhance the quality and impact of the university's research endeavors.
[5] Provide incentives for faculty members to conduct high-quality and high-impact research	- DRGS introduced research reward program, that is designed to recognize, reward and provide incentives for the efforts of faculty and researchers at Ajman University who are making significant contributions to academic research. The objectives of this program are to increase the number and quality of AU SCOPUS-indexed papers in leading international journals, to motivate and encourage faculty and researchers to be actively involved in the university's research vision and mission, to promote collaborative research with international partners, and to raise the visibility of research outcomes and increase citations. - Ajman University recognizes the importance of external funds and provide incentives to its faculty members and researchers in their pursuit of external research funding as per university approved policies and procedures. - The university also provide support to faculty members by providing research travel grants, attending and presenting papers in conferences and contributing in other expenses such as registration fees for conferences, publication fee for high quality journal papers, etc.
[6] Promote principles of sustainability and nurture a culture of the shared responsibility of mankind to preserve planet Earth for future generations	At Ajman University, promoting principles of sustainability and nurturing a culture of shared responsibility towards preserving the planet for future generations is a key component of AU research strategy. The University recognizes the importance of sustainability and is committed to promoting sustainable practices and behaviors in all its activities. One of the ways the University is promoting sustainability is through the Healthy and Sustainable Building Research Centre (HSBRC). The HSBRC is dedicated to providing high-quality research and studies on how sustainable design, construction, and operations of buildings contribute to the health and wellbeing of occupants. The HSBRC is committed to exploring innovative solutions for creating sustainable and healthy environments that improve the quality of life for people while minimizing the impact on the environment. The HSBRC conducts research on a wide range of topics related to sustainable building practices, including energy efficiency, water conservation, waste reduction, and indoor air quality.

AU regularly evaluates the success of its research strategy on yearly basis. In order to assess the success of its research strategy, AU defines Key Performance Indicators (KPIs), with specific targets, every year. It is important to note that each KPI is linked to the corresponding AU strategic goal. These KPIs will help measure the success of the research strategy and enable the University to monitor progress towards achieving its objectives. The KPIs related to research strategy, like all other KPIs, are assessed at the end of every academic year on the basis of submitted evidence. The assessment of KPIs for DRGS, submission of corrective action plan for unachieved KPIs, and any improvement action plan, are monitored for closing the loop of the assessment cycle, and for continuous improvement, through the Office of Institutional Planning and Effectiveness (OIPE).

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 Research and Graduate Studies
V 2.1	21/10/2018	Minor changes to KPIs	Dean of Research and Graduate Studies
V2.2	30/09/2020	KPIs are removed from the policy	Dean of Research and Graduate Studies
V2.3	30/06/2021	Minor changes – inclusion of sustainability and innovation	Dean of Research and Graduate Studies
V2.4	15/03/2023	The AU research strategy has been updated in line with AU's new strategic plan (2022-2027).	Dean of Research and Graduate Studies

Research Ethics Policy

Policy Owner	Dean of Research and Graduate Studies	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Vice-Chancellor for Academic Affairs	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

Introduction

Ajman University's Research Ethics Committee (REC) was established in accordance with the approved by-laws of Deanship of Research and Graduate Studies. Its purpose is to ensure that research work involving human or animal objects follows specific ethical guidelines consistent with national and international standards. Ajman University and its researchers are expected to maintain the highest ethical standards and to foster values of honesty, rigor, openness, care and respect. This document explains the mission, responsibilities, and composition of REC and presents guidelines and procedures for obtaining ethical approval of research proposals involving animal or human subjects.

1-Mission

To provide independent and competent advice to researchers and professionals on the extent to which proposals of research studies comply with recognized ethical standards and accordingly grant ethical approval of research proposals submitted by AU faculty, students and external researchers.

2-Scope of Responsibilities

The duties of the REC may be outlined as follows:

- Develop and revise guidelines and forms needed for research ethical approval of research proposals applied by Ajman University faculty that contain animal and/or human subjects or involve systematic data collection from human and/or animal subjects using established research methodologies.
- Provide effective systems to ensure that research integrity is implemented, that potential concerns are identified at an early stage, and that enhancement to the research project is provided.
- Promote awareness and understanding of ethical issues and good conduct in research throughout the university.
- Review the latest ethical requirements in research, by following the updated ethics guidelines.
- Review all applications in need of ethical approval and issue approval letters to the applicants that satisfy the research ethical criteria of REC.
- Inspect facilities used for research purposes. Coordinate efforts to establish links with the UAE's Ministry of Education and Ministry of Health.

3-Composition of the REC

The Research Ethics Committee was formed on the 1st of March 2017 based on the recommendation of the Dean of Research and Graduate Studies and approval of Acting Vice-Chancellor for Academic Affairs. The committee is composed of a minimum of six members nominated by the Dean of the Graduate Studies and Research. Members of REC shall be renewed or changed every three years. The members of REC reflect a multidisciplinary composition to take into consideration different views. It is composed of:

- Members from all colleges who have reasonable experience in conducting human/animal research and are acquainted with the international guidelines.

2. Representative from the College of Law to ensure the legal drafting of the committee terms of references and guidelines.
3. Secretary of Deanship of Research and Graduate Studies to help with the coordination between principal investigators and committee members.
4. The REC can form subcommittees to especially assess undergraduate research from Ajman University students. In those cases, additional members will be invited for the particular occasions.

4-Human Research Ethics

Types of Review

Once submitted to the Research Ethics Committee, an application will undergo an initial risk categorization that will place it under one of the following three categories:

Exempted Status

Narrative reviews are the only type of research that is exempted.

Review Status

All applications that involve animals, humans, human tissue or animal tissue shall undergo full review. Examples of research studies that would require REC's full review are:

1. Clinical trials of all types. These involve comparisons of interventions of all nature to control groups. Interventions may be procedures, medications, educational programs, etc.
2. Microbiological studies
3. Cell culture studies
4. Material studies
5. Behavioral and survey research (including online surveys)
6. Systematic reviews
7. Epidemiological studies of culture, social issues, prevalence of disease, risk factor analyses, etc.
8. Research studies where vulnerable populations are recruited, e.g. children and people with special needs.
9. Research studies in which persons with limited autonomy are recruited, e.g. prisoners and army personnel.
10. All studies involving genetic analysis.
11. All research where the informed consent has been waived, even when the risk is no more than minimal. Minimal risk is usually defined as risk that is encountered during an individual's usual daily activities.
12. All research involving survey methodology or information to be gathered from human subjects through interviews, focus groups, etc.

What will be reviewed in an application

In undertaking ethical assessment review of research proposals, REC considers the protection of privacy of those participating in the research. It will consider if the research is valid and useful. In establishing research validity and usefulness, the Committee will review the ethics application form and supporting documents for:

- Research question(s) and justification(s).
- Research aims and objectives.
- Methodologies used are appropriate for answering research question(s).
- The profile and experience of investigators fit well with the proposed research needs. (CV required for external co-investigators).
- Participants are adequately informed of participation.
- Participants consented to participation.
- Patient privacy and confidentiality are adequately addressed.
- Research does not pose significant risk (physical, psychological, social, financial) to participants.
- Incentives that may be offered to participants.
- Review and evaluate conflicts of interest that may exist or develop in the course of conduct of the research.
- Sources of funding for the research.
- Plan for reporting unanticipated problems in conducting the research
- Investigators of the submitted project need to consider the phenomena within specific cultural and social context that can be "sensitive". "Sensitive" may be defined to describe private, stressful or sacred, potential fear of stigmatization such as youth studies that reveal illegal behaviour, studies of sub-cultures, studies that may reveal information of a politically sensitive nature that is subject to controversy or social conflict, social issues such as sexuality, suicide, child abuse and death, domestic violence and partner abuse. In order to protect all participants' physical and psychological safety, protocols or guidelines need to be developed at the beginning of the research process to identify and minimize risk. When participating in a research project that is deemed "sensitive" in nature, the REC will ask for clear protocols to be included in research proposals that outline how participants' risk is minimized.

Information sheet

The main purpose of the Information Sheet is to provide participants with a plain language statement that clearly describes the aims of the project and the nature of involvement of participants. Participants should be clearly informed of their rights and any risks associated with participation. The welfare of the participants and respect of the dignity and personal privacy of the individual are main concerns.

The Information Sheet should contain the following:

- The aims of the project.
- A description of what will be required of the participants (include details of amount of time required of participants).
- A statement which addresses confidentiality and security of information. Details of who will have
- access to personal information and the purpose(s) for which participant information will be used,
- including whether participants would be potentially identifiable in any published material.



- A statement that participation in the research is completely voluntary, that participants are at liberty to withdraw at any time without prejudice or negative consequences, that non-participation will not affect an individual's rights/access to other services/care (e.g. in the case of patients).
- A statement about any potential risks, harms and benefits to participants.
- The contact details of the investigators (and supervisor where the principal investigator is a student) should the participant require further information.
- The contact details of the Head of the Research Ethics Committee should participants wish to make
- a complaint on ethical grounds.
- A statement that there are no financial obligations for participating in the research or its consequences.

Informed consent

- Each research participant should give consent to participate based on the three principles of:
- *Information*: Information has to be understandable to the lay person (6th grade literacy level).
- *Comprehension*: Researchers must ensure participant comprehension of risks and benefits.
- *Freedom*: Participant must be free to make choice, the participant has to fully understand what participation entails, no coercion or influence is placed on the participant, incentives, if given for participants, must be of reasonable value as compensation for time or other logistics, and must not impose pressure on the participants.

Who gives consent?

All participants in research are required to consent to participating. When the individual is incapable of consenting or determining for own self, another person is called upon to provide consent. This is termed surrogate consent.

- i. Surrogate consent Surrogate consent is required on behalf of patients:
 - Who are under the age of 18
 - Who have mental incapacity
 - Are not self-legislating (e.g. prisoners, persons in mental institutions)

Who can give surrogate consent?

- A person who has ethical and/or legal right to make proxy judgments and ethical decisions
- A person who is loving and close to the incompetent person
- A person who knows the incompetent person well
- The next of kin such as spouse, son or daughter, brother or sister, among others

- ii. How participants give consent

Participants will give consent by signing the consent form, keeping a copy of the Information Sheet for themselves. In cases where the research involves completing a questionnaire and signing a consent may jeopardize anonymity and confidentiality, completing the questionnaire itself is considered an implied consent. In this case, a written signature may not be required. In a case of deception study, the consent form has to be completed after the collection of data.

iii. Information to be included

All information in the Information Sheet is required in the consent in addition to

- Title of the project
- Statements of confirmation, such as: "I have been informed of and understand the purposes of the study" and "I understand I can withdraw at any time without prejudice"
- Name of participant, signature and date.
- In case of interventional studies, the signature (and date of signing) of the Principal Investigator involved must be included

iv. Waiving of Consent

In rare cases when consent is not possible or is impractical, REC may waive the informed consent as a requirement. Researchers should present a strong justification for requesting a waiver. A waiver must only be granted if the research being applied for is classified as minimal risk. Examples include:

- Extracted human teeth.
- Emergency settings, in which consent or surrogate consent is not possible.
- Retrospective studies, such as record review and analysis of leftover samples.
- Observational studies where a large number of people as a group is being observed.

5. Animal Research Ethics

Functions:

REC provides an independent, efficient and timely review of the ethics of the submitted proposals before the start of the study and regularly monitors the ongoing studies. The Committee emphasizes the following principles of animal welfare:

Replacement:

- A technique that can totally avoid or partially replace the use of animals should be used where possible.

Reduction:

- A minimum number of animals necessary to ensure scientific and statistical validity.
- Not to increase the suffering of any individual animal.
- No repetition of experiments, unless essential.

Refinement:

- Ensure correct animals are used.
- Minimal impact on animals – anesthesia and analgesia, etc.
- Death as an endpoint is usually not acceptable.
- Minimize duration

The REC will assess the following review criteria:

1. Approval of scientific review committee and regulatory agencies, where applicable.
2. Assessment of predictable risks/harms to animals. The REC will identify all environmental risks. Possibility of alternative approaches of experimental animals.
3. Protocol and proforma of the study.
4. Plans for data analysis and reporting.
5. Adherence to all regulatory requirements and applicable guidelines.
6. Competence of investigators, research and supporting staff.
7. Facilities and infrastructure in the animal house if required. REC shall also regularly oversee and inspect the housing of the animals and ensure that it is in accordance with the local and international standards. It shall ensure that records are maintained with respect to experiments conducted on animals and the animals assigned to perform experiments are seen correctly before and after tests.

6. Submission of Applications for New Studies

The Principal Investigator (PI) of the research is the authorized person to submit the research proposal for review to the REC. All research proposals should be submitted with the following documents:

1. A signed and dated application form prepared by the REC
2. Names of the PI and Co-investigators with designations.
3. One-page CVs for the principal, co-investigators, and external investigators.
4. Name of any other Institute (if any), where research will be conducted.
5. Statement to assurance agreement to comply with ethical principles and legal requirements set out in relevant laws and guidelines.

7. Review Flow Process

On submission of an application, the following steps will be carried out:

7.1. Submission check

Submission check will be performed by the committee's secretary, including:

- All information requested in the application form are filled.
- All needed documents are attached, such as the participant information sheet, the informed consent, the research tools (if applicable), the recruitment announcement (if applicable), etc.
- All original documents are in their final format in English and all translations (if applicable) are attached in the participants' native language, free from language mistakes.
- At this point an email will be sent to the faculty submitting the application informing them that the application is complete and that it would undergo the review process by the REC.

7.2. Review process

When the application is complete, it is now ready to be reviewed. The review will be performed by committee members on their own first. Then the proposal and risks involved in the project will be discussed among group members, and recommendations will be sent back to the principal investigator for consideration.

8. Conflict of Interest

In case one of the members of the REC has a conflicting interest such as being the researcher or being a supervisor for the research proposal, he/she shall not participate in the review or approval of the proposal except to clarify some required information by the REC and he/she will not be counted for the final vote for the research proposal.

9. Independent Consultants

The REC may invite, upon the agreement of committee members, other faculty members to help in the review of specialized research proposals. Additional faculty members are not included in the voting but their presence should be recorded in the meeting minutes.

10. Meeting Frequency

The REC shall meet in the last week of each month during the academic year; additional meetings are conducted as needed, depending on the number of applications received. The committee secretary (if available) will be responsible for organizing meetings, keeping records and communicating with all concerned persons. He/she will prepare the minutes of the meetings and obtain the approval of the head of the REC before reporting them to the principal investigator.

11. Deadlines

Proposals should be submitted to the committee two weeks prior to the committee meeting at which the proposals will be reviewed. Applicants shall be notified with REC decision within two weeks of the committee meeting. Researchers are not allowed to begin their study, before getting approval from REC.

12. Review of Applications of New Studies

Each proposal must be reviewed by members from the REC, and members should be provided with detailed materials describing the research so that each member will be able to discuss the protocol at the meeting.

13. Research Involving other Institutions

Where the proposed research involves Ajman University faculty/staff collaborating with staff in other institutions, it may be required for the research proposal to be evaluated under the ethical review procedures of the other institution. Approvals from other institutions would facilitate approvals by REC but do not replace them.

Applications submitted for projects conducted by investigators from other institutions who wish to conduct their research at Ajman University, require a faculty/staff member from Ajman University to be listed as a collaborator or an investigator on the application.

14. Voting and Decision-making

All committee members will participate in the voting for the decision about the research proposal unless a member has a conflict of interest. The research proposal shall be approved only if more than 50% of the REC members vote in favor of approving the Protocol. In case of a tie, the decision supported by the head of the committee shall be considered. Meetings may be done at a distance with IT.

For undergraduate research applications, there will be ad hoc committees from each college, assessing the undergraduate student's applications.

15. Types of Decisions:

- Approval of research: In case the proposal complies with the local and international guidelines and no changes are required, the research may proceed once the PI receives written documentation of REC approval.
- Approval of research with minor changes: In case minor changes are recommended by the reviewers, the head of the committee must ensure that the investigator makes the appropriate changes to the research protocol. The research may proceed after the required changes are verified.
- Deferral: In case that substantive changes are required before the committee's approval. The investigator's response, including any added materials, must be reviewed again by REC.
- Disapproved: In case the proposal requires major changes that require a complete reassessment of the protocol by the investigators, the proposal shall be rejected.

Suspension and termination of research study by REC: The committee can suspend a study at any time if the investigator(s) deviated from the approved proposal without permission from REC.

Appeal of REC decisions: Investigators may appeal the REC's decisions. After the approval of the REC, the investigator may be invited to the REC meeting at which his or her appeal will be considered. Each protocol will be assigned a risk level; minimal risk, greater than minimal risk, or too risky (in the latter case, the protocol will be disapproved) and the follow-up intervals will be determined per the level of risk of the protocol. In general, duration of approval will be a maximum of one year.

16. Communication of Decisions

A decision of the REC shall be conveyed to the principal investigator in writing within two weeks of the meeting. The decision shall include a clear statement of the REC decision reached, a list of the conditions needed for approval, if any, and justifications of any disapproval.

17. Investigators' Responsibilities During Conduct of the Study

During the conduct of the study, the investigator shall submit any deviations from the approved proposal, serious and unexpected adverse events, unexpected problems or change of investigators. The REC will determine which of the above can be reviewed by an expedited procedure and which requires full committee review.

After the publication of an article, the author is the sole responsible agent for any queries that may come from external sources; REC and Ajman University are not responsible in this regard.

18. Research Misconduct

Research misconduct which fits one or more of the following will be considered grounds for denying or revoking ethical approval for the research and considering remedial actions consistent with the degree of misconduct:

- Fabrication: making up results or other outputs (e.g. artefacts) and presenting them as if they were real.
- Falsification: manipulating research processes or changing or omitting data without good cause.
- Plagiarism: using other people's material without giving proper credit.
- Failure to meet ethical, legal and professional obligations: for example, failure to declare competing interests; misrepresentation of involvement or authorship; misrepresentation of interests; breach of confidentiality; lack of informed consent; misuse of personal data; and abuse of research subjects or materials.

19. Record Keeping and Archiving

The following documents must be kept for a period of five years:

- Minutes of all meetings duly signed by the head of the committee.
- Copy of all correspondence with members, researchers, reviewers and other regulatory bodies.
- All proposal related documents (study projects with enclosed documents).

In case that a researcher decides to withdraw an application after it has been approved, the researcher must issue a written request, and the REC will consider it and archive it in the files.

20. Annual Report

The REC head with the assistance of the secretary will prepare an annual report at the end of each academic year and submit it to the Dean of Research and Graduate Studies. The report will include the number of applications received, their classifications and the final decisions. The report will also include recommendations made by the committee members for the following year.

Appendices:

All [appendices](#) are available in the Deanship of Research and Graduate Studies.

Appendix 1- Human Research Application

Appendix 2 - Animal Study Application

Appendix 3 - Flow Chart

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
V 1.3	30/09/2020	The policy has been updated	Dean of GSR

AU Funded Research Grants Policy

Policy Owner	Vice-Chancellor for Academic Affairs (VCAA)	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

1-Purpose

Ajman University will provide internally funded research grants every year to support research projects in all colleges on a competitive basis under the following categories:

- Internal Research Grant (IRG)
- Interdisciplinary Research Grant (IDG)

These research grants aim to boost research productivity at AU, enable faculty to conduct research that leads to high quality peer-reviewed publications (as per AU Guidelines for Research Publication), establish and nurture research collaborations with international universities/institutes, and leads to submit proposals for external research grants, within or outside UAE. It is expected that faculty receiving IRG/IDG leverage the funding to move into other streams of funding from the industry, local government agencies, international sources such as EU, GCC region etc.

2- Statements

1. The DGSR will announce call to submit proposals for AU funded research grants at least once and at most twice per academic year.
2. All AU faculty members (including post-doctoral research associates) are eligible to apply for AU internally funded research grants (IRG and/or IDG), either individually or by forming research teams, including interdisciplinary teams.
3. Generally, no faculty/researcher will be allowed two AU funded research grants simultaneously. In some cases, such as when it is of strategic importance to activate research partnership with an existing collaborating institute, where AU had signed an official Memorandum of Understanding (MoU), more than one grant may be awarded to a PI, as approved by the dean of GSR.
4. The maximum duration for completion of all projects shall be 12 months. The duration of project shall be specified on the award (notification of acceptance) email/letter and the project is automatically concluded after the maximum duration.
5. The Principal Investigator (PI) must ensure ethical compliance upon project award and receive a Certificate of Ethical Clearance (CEC) from AUREC before starting project, if applicable.
6. Any hardware, software, equipment etc. purchase by AU as part of these research grants must be kept at AU campus at all times. Once project is completed, the PI shall must return all hardware/software/equipment etc. to the DGSR. The DGSR shall find the relevant research centre and the relevant research centre will keep all hardware/software/equipment purchase under AU funded research grants.
7. The Internal Research Grant (IRG) proposals have following two categories:
 - a. Category-1 (Cat-1)
 - i. Research proposals where the requested budget is less than 20,000 AED only.

- ii. In this category normally support will be provided only for Hourly Paid Research Assistants (HPRA), data collection, licensed software (temporary license) and consumables.
 - iii. Peer-review from an external reviewer (i.e. outside AU) is not a requirement for IRG Cat-1 proposals.
- b. Category-2 (Cat-2)
 - i. Research proposals where the requested budget is more than 20,000 AED (and normally less than 50,000 AED).
 - ii. Such projects may request support for Hourly Paid Research Assistants (HPRA), software, hardware, data collection, consumables etc.
 - iii. Ideally, Category-2 proposals need to demonstrate connection with any AU research centre.
 - iv. Two peer-review reports from external reviewers (i.e. outside AU) is generally required for such proposals.
- 8. For interdisciplinary research grant (IDG) proposals, the requested budget is expected to be more than 50,000 AED and the project teams consists of members from different colleges/disciplines. The interdisciplinary nature of the research must be clearly highlighted in the proposal.
- 9. For high-quality and impactful interdisciplinary research projects the approved research budget can be around or slightly higher than 100,000 AED.
- 10. The dean of GSR may award research grants of limited budget, for instance up to 20K AED, to new faculty members starting in Fall semester. The award is subject to the quality and merit of a research proposal submitted directly to the dean of GSR and the availability of budget. The dean of GSR may arrange internal or external peer-review of the submitted proposals before making a final decision.
 - a. **Research Grants Approval**
- 11. The DGSR shall follow systematic, transparent, and uniform procedures to evaluate the submitted proposals and award or recommend research grants for approval to VCAA.
- 12. DGSR shall arrange transparent and confidential external peer review of all proposals where the requested budget exceeds 20,000 AED. Generally, two external reviewers are needed for each proposal. For proposals, where the requested budget is less or equal to 20,000 AED, internal evaluation and recommendations from CRC is required.
- 13. Each external reviewer will be paid an honorarium, as decided by the dean of GSR and approved by the VCAA. The honorarium amount must be in line with the regional and local practice.
- 14. Priority will be given to following research proposals:
 - a. Having high potential of publications in journals of high impact factors or high-quality category (such as AU A* or A), as defined in *AU Guidelines for Research Publication*, or proceedings of prestigious Scopus-indexed research conferences,
 - b. That are likely to receive external funds in the near future,
 - c. Align with the strategic research direction of the college, and directly link with any AU research centre,
 - d. Principal Investigator (PI) has a successful track record of completing previous funded research grants,
 - e. Research proposals with requested budget of less than 20,000 AED,

- f. Focusing on important research areas for the Emirate of Ajman, UAE and the Arab region
15. Approval of these grants is subject to peer review process (internal or external), recommendations from the internal review committee and contingent on the availability of funds.
 16. For research projects with funding requirement exceeding 50,000 AED (i.e. IRG Category-2 or IDG), VCAA has the authority to approve such projects for funding based on recommendations from the dean of GSR.
 17. The Dean of GSR shall have the authority to approve funding for IRG projects where the requested budget is less or equal to 50,000 AED.
 18. The PI should seek prior approval for any change in the approved research plan or budget affecting the scope of work.

b. Budget

19. The budget constraints for IRG Cat-1 and IRG Cat-2 proposals are defined earlier in the policy statements.
20. The research proposals may include budget allocated for collection of data or field testing, etc. The budget under this category must be used for data collection locally (international travel for data collection is not permitted).
21. The research proposals shall NOT include any budget for presentation of papers in scientific conferences, publication charges, editing, translation etc. The conference travel and publication charges, if applicable, shall be covered separately.
22. The research proposal may include budget to support an hourly paid Research Assistant. The HP-RA may be hired within or outside UAE.
23. The dean of GSR have the authority, based on recommendations from CRCs, and review committee, to recommend approval of project budget which is different than that proposed by the PI.
24. The DGSR may not award some research proposals due to limited budget available for AU funded research grants.

c. HPRA related Policies

25. To facilitate and promote research at Ajman University, PI who secured research grants are eligible to hire Hourly Paid Research Assistants, within or outside AU.
26. Maximum budget that can be allocated to hire hourly paid research assistants is 20,000 AED per project per academic year. This budget can be higher for large scale interdisciplinary projects (IDG).
27. DGSR highly encourages the hiring of AU students and alumni as HPRA.
28. Hourly paid research assistant can be a:
 - a. Graduate student (within or outside AU);
 - b. Recent graduate;
 - c. Highly talented undergraduate student.
29. Hourly paid research assistant cannot be a:
 - a. AU full time or part time faculty member;
 - b. Full time research assistant or research associate at AU;
30. The PI and his/her research team are authorized to announce the position, short-list the candidates, and select the HPRA as per the requirements of the research project and the nature of tasks to be accomplished by the HPRA. ^[1]_{SEP}
31. The per hour payment rate for HPRA may vary from 30 to 60 AED per hour depending upon their qualifications and experience. The per hour rate for an undergraduate student is 30 AED, graduates or a master's student is 40 AED, masters' degree holder is 50 AED and for a doctorate student is 60 AED. ^[1]_{SEP}

32. Generally, the maximum number of allowed working hours for HPRA are 20 hours/week. If the HPRA is an undergraduate student, the maximum number of allowed working hours are 15 hours/week.
33. The DGSR and University will not involve directly with the hiring and management of HPRA. The DGSR will communicate with the PI in all matters related to the research grant. This is entirely PI responsibility to hire HPRA, communicate all information to HPRA, assess his/her performance on a regular basis and then submit a request to release payment. The payments to HPRA's will be made after written approval of the PI and in accordance with the University regulations.
34. PI also ensures that HPRA's must be aware of all relevant policies and procedures, including but not limited to DGSR policies, AU authorship policy, IP etc. The HPRA shall abide by all rules and regulations of AU, including those related to research work, relevant policies and procedures, intellectual property, and patents.
35. In case of non-satisfactory performance, the HPRA must be given a written notice by the PI, terminate his/her assignment and immediately inform DGSR. ^[1]_{SEP}

d. Project Deliverables

36. Interim progress report (as per provided template by DGSR) is required after 6 months starting from the approval date of project. It is PI responsibility to submit progress report to the CRC chair (CRCC) before the end of 6 months.
37. Final detailed report (as per provided template by DGSR) is required within one month of the completion of project. It is PI responsibility to submit final report to the CRCC within 30 days of the completion of the project. The final report should discuss the impact of research including all outputs such as research papers, submitted external grants, IPs, inventions etc., as applicable.
38. The PI shall ensure that all research publications resulting from the project must acknowledge the internal research grant (reference number) and support from Ajman University. Without acknowledgement, the publication may not be considered as an outcome of the project. As an example, the PI may use following (or a similar) statement for the acknowledgement:
"This [Article/Paper/Report etc.] was supported by Ajman University Internal Research Grant No. [DGSR Ref. Number of the Grant goes here]. The research findings presented in this [Article/Paper/Report etc.] are solely the author(s) responsibility."

e. Conflict of Interest

39. No AU employee in any internal/external grant or consultancy, should have any interest financial or otherwise, direct or indirect, or engagement in any business or activity, which is in conflict with the assigned duties at AU.
40. Few examples of such conflict of interests are,
 - a. Hiring relatives;
 - b. Providing benefits to personal business;
 - c. Engaging in any transaction with any business entity in which he/she has a direct or indirect financial interest;
 - d. Using AU laboratories or facilities for own personal, or commercial activities.

3-Relevant Procedures

1. The DGSR will announce the call for proposals, procedure to apply, and deadlines for AU funded research grants (IRG and IDG) by sending an email to college Deans and college secretaries.
2. College deans will circulate this email to all faculty members and relevant personnel in the college.
3. All AU funded research grant applications shall be submitted by the applicants as per the set procedure and before the deadline, mentioned in the call for proposals / email.
4. Before submitting an application for research grant, applicant must seek an approval from the Head of Department (HoD) and college Dean and declare this in the application form. The applicants are strongly encouraged to submit an application to AUREC, if applicable, at this stage and obtain a Certificate of Ethical Clearance (CEC) from AUREC before starting project.
5. The dean of GSR shall arrange independent, expert external (to AU) peer reviews of all IRG Cat-2 and IDG proposals. Generally, two external review reports are required for each proposal. In certain cases, the dean may acquire more than 2 external review reports.
6. The dean of GSR has the authority to send any IRG Cat-1 proposal for confidential peer-review either internally or externally, if needed.
7. After receiving all internal/external review reports for research grant proposals, the dean of GSR shall form an ad-hoc review committee to provide recommendations. This committee shall consist of most of the CRC-chairs of colleges, in addition to few senior faculty as invited by the dean.
8. The review committee shall review applications, discuss all cases together in a highly confidential meeting chaired by the dean of GSR and recommend proposals for approval.
9. For research projects with funding requirement exceeding 50,000 AED (i.e. IRG Category 2 or IDG), the Dean of GSR shall forward proposal along with committee recommendations to the VCAA for a final decision. This decision shall be communicated to the applicant by the DGSR.
10. Based on review committee recommendations, the dean of GSR shall decide the funding of proposals and inform all applicants by sending notification of acceptance emails. The notification of acceptance emails shall be CCed to the CRC chair, college Dean, college Secretary, Office of Finance, Budget office, Office of Procurement, and the VCAA. The total approved budget and the budget allocated in each category (e.g. Hardware, Software, Data Collection, HPRA etc.) must be defined clearly in the notification of approval email. This email declares the official start of the project.
11. Once a project is approved, the DGSR shall open an account with the Finance and communicate GLA number back to all PI's. The PI must use DGSR reference number and GLA number in all future correspondence in relation to the project.
12. PI's are strongly encouraged to define, get quotations (using Online Request System, ORS) and submit (via Dynamics system through the college secretaries) all procurement requirement of their projects within 30 days of the receipt of notification of acceptance email, as applicable.
13. The PI must select and hire HPRA as soon as possible, as applicable, by submitting a request to DGSR using appropriate application form provided by the DGSR.
14. Once approved by DGSR, the HPRA can start work on the project, as applicable.
15. On successful completion of assigned tasks to the HPRA, the PI should submit HPRA payment form to DGSR to release payment (as per approved budget) regularly, ideally after every 2-3 months, as applicable. The finance account of the project must be close by the deadline, as mentioned in the notification of award email.

16. The PI will be responsible for submitting an interim progress report in the middle of the project, as well as a final report to the DGSR through CRC chair, within one month of the completion of the project.
17. The CRC chairs shall discuss such reports with the CRC and college Dean, and forward recommendations to the dean of GSR (cc to college Dean).
18. The PI will also be responsible for closing all accounts related to the AU research funded project at the completion of the project with the Office of Finance.
19. The College Research Committees shall monitor the progress of all projects awarded by the DGSR.
20. All projects will automatically be concluded after the maximum duration of the project mentioned on the award email/letter. In few selected cases, the PI may submit a request for extension at the end of the project, with a strong justification.

4-Finance related Procedures

1. The PI's of all AU funded research projects must respect and abide by all the policies and procedures of the Office of Finance, Office of Procurement and any other relevant office. In case of any confusion or more clarification, the PI's are always advised to contact directly either the DGSR secretary/coordinator or to the relevant office.
2. The Office of Finance shall open a separate account (GLA number) for each research project (IRG and IDG) awarded by the Deanship of Graduate Studies and Research. The opening budget balance of such an account shall be the research budget approved by DGSR for an accepted proposal. This number will be communicated to the PI soon after the notification of acceptance email by the DGSR. The PI shall refer to this account number in all correspondence with the Office of Finance through the Secretary/Coordinator of DGSR.
3. The Office of Finance is responsible for paying money to HPRA's. The payment shall only be made after the PI will sign and submit a HPRA payment form to DGSR for the release of payment. DGSR, after verifying that funds are available in the project shall forward this request to the Office of Finance.
4. After deducting the total approved budget for HPRA's and the equipment/parts to be purchased through the Office of Procurement, the remaining balance is at the disposal of the PI. The PI can spend money, as per approved budget and reimburse his/her money back. Alternatively, the PI is entitled to receive up to 10,000 AED (depending upon the remaining balance) as advance payment at any time during the execution of the research project. This amount will be considered as temporary loan and it will be cleared as soon as the PI submits tax invoices with receipts of expenses incurred on the research project. The invoices shall be submitted at the earliest possible time to the Office of Finance through DGSR.
5. The advance payment can be used by PI for purchase of equipment, components, consumable materials, software, etc. (as per approved budget and set procedures of the office of Finance) for use in the research project such that the cost of each purchased item does not exceed 1,000 AED. An individual receipt more than 1,000 AED shall not be accepted by the Office of Finance.
6. For items whose cost is more than 1,000 AED or Fixed Assets, the Office of Procurement shall handle the purchase. For such purchases, PI shall obtain three quotations (as applicable) and submit a request via Dynamics system (via college Secretary). These equipment's will be the property of AU and has to be kept either at the research centre or to the AU store once the research project is over.



7. The PI shall identify and submit all procurement related queries (via Dynamics system) within 30 days of the receipt of notification of acceptance email from DGSR, along with a copy of award. This amount will be deducted from the research project budget which is still available with the Office of Finance.
8. The PI can pay in cash for the expenses incurred on Field Testing or Data Collection to an individual or a team from the advance payment. In this case the individual or the team shall sign and submit the Field Testing/Data Collection Payment Form to the DGSR, provide all details and attach all the receipt (as applicable).
9. The DGSR recommends all PI's to submit receipts to DGSR via email, in case of hard copy submission, the PIs must keep a copy of all submitted receipts with them.
10. The research account shall be closed at the completion of the project and after all receipts have been provided by the PI and all payments have been made to the HPRA.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	04/2017	New policy	Dean of Research and Graduate Studies
V1.1	01/10/2020	Updated policy	Dean of Research and Graduate Studies

Research Travel Grants Policy

Policy Owner	Dean of Research and Graduate Studies	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

Purpose

The reason for the policy is to guide Ajman University community in availing research travel grant. The Research Travel Grant (RTG) aims to provide AU faculty an opportunity to use research resources (e.g. research facility, equipment, hardware, resources etc.) at a partner institute/facility, that are not available in Ajman University. In addition, such grants also aim to boost research productivity at AU, enable faculty to conduct collaborative research that leads to high quality peer-reviewed publications (as per AU Guidelines for Research Publication), establish and nurture research collaborations with top ranked international universities/institutes, and leads to submit proposals for external research grants, within or outside UAE. The research travel grants are part of AU's ongoing drive to expand its network with international partners by supporting the development of collaborative research. It is expected that faculty receiving RTG leverage the funding to move into other streams of funding from the industry, local government agencies, international sources such as EU, GCC region etc.

Scope

AU faculty and staff involved in research and scholarly works.

Statements

1. The DRGS will announce call to submit proposals for RTG, normally twice per academic year, and refer as Phase-I (for travel during winter or April break) and Phase-II (for travel during summer) of research travel grants.
2. All AU faculty members, with an academic rank of Assistant Professor and above, are eligible to apply. However, at the time of travel, new faculty members must successfully finish one complete semester at Ajman University.
3. No faculty/researcher will be allowed to submit more than one RTG during one academic year.
4. The award for RTG (total budget) shall not exceed 15,000 AED. The exact amount of award must be mentioned in the notification of acceptance (or award) email/letter.
5. Funding for RTG shall cover return airfare (economy class), visa cost (if applicable), bench fee (if applicable), and accommodation cost (as applicable) only. A request to buy and use consumables, with right justification, can also be added in the application provided the total budget shall not exceed 15,000 AED. Faculty member shall bear all the other costs involved during the travel, e.g. local transport, food, beverages, accommodation cost outside the approved budget etc.
6. AU will not be responsible for any wrongful act committed by the faculty member.
7. AU will not be liable for any legal, health, accident, emergency, etc. related matters at partner institute.
8. The travel dates for RTG, must be selected carefully in close consultation with the Head of Department and the College Dean. The applicants must ensure that this visit must not affects his/her teaching and/or any other responsibility within the college/university. Any change in the proposed date of travel must be notified to college Dean and seek his/her approval by the applicant.
9. Applicants are reminded that visa application processes for some countries may take up to 3-4 months and should consider this when determining travel dates.
10. Travel must be completed during the academic year for which the RTG is awarded.

11. For RTG applications, evaluation criteria may consider, among other factors, the following:
 - a. reputation of host institute, e.g. top ranked institutions in the world as per the latest QS, THE or Shanghai International university rankings,
 - b. quality of research proposal/project,
 - c. nature of the work undertaken during the visit,
 - d. justification of visit,
 - e. expected outcomes, e.g. potential of subsequently submitting external research grant proposal within a year of the visit, or expected publications in Scopus-indexed or prestigious journals,
 - f. track record of the applicant and host in relation to proposed research work,
 - g. the likelihood of the establishment or significant strengthening of a genuine and ongoing international linkage as an outcome of this RTG.
12. The visiting faculty member may continue to hold the same medical insurance provided by the University, as per terms and conditions set by the medical insurance provider. However, it is the full responsibility of the visiting faculty member to purchase any additional insurance required in the country of his/her visit, especially if research work in host country involves use of chemicals or other high-risk materials or activities.
13. The DRGS shall follow systematic, transparent, and uniform procedures to evaluate the submitted proposals and award RTG.
14. Generally, award of RTG is subject to CRC recommendations and council of research feedback provided to the dean of GSR and contingent on the availability of funds. The dean of GSR has an authority to send proposal to additional internal/external expert for additional confidential review.
15. The dean of GSR have the authority, to award RTG with an approved budget which is different than that proposed by the applicant and/or recommended by the CRC.
16. The applicant should seek prior approval from the DRGS for any significant change in the approved travel plan, e.g. change in research plan, duration of visit etc.
17. The awardee shall ensure that all research publications resulting from the visit must acknowledge the RTG (reference number) and support from Ajman University. Without acknowledgement, the publication will not be considered as an outcome of RTG. The PI may use following or a similar statement for the acknowledgement:
 “This [Article/Paper/Report etc.] was supported by Ajman University Research Travel Grant No. [DRGS Ref. Number of the Grant goes here]. The research findings presented in this [Article/Paper/Report etc.] are solely the author(s) responsibility.”

a. Deliverables

18. A comprehensive report (as per template, provided by the DRGS) must be submitted by the awardee within one month of the completion of visit to the College Research Committee Chair (CRCC). This report must include potential future work plan and expected outcomes in 6 months’ time.
19. Draft version of news item (1-2 pages), including all travel details (partner institute details, ranking, details of laboratory, dates, summary of activities etc.) and few high-resolution pictures and videos, if possible.
20. It is expected that such visits will lead research outcomes, e.g. joint publications in Scopus-indexed journals, potential of subsequently submitting external research grant proposal within a year of the visit etc.
21. The awardee shall submit a short report (or send a detailed email) to the dean of GSR (CC chair of CRC and college Dean) within 6 months, explaining the impact of travel, and research outcomes to close the loop.

b. Conflict of Interest

22. No AU employee in research travel grant, should have any interest financial or otherwise, direct or indirect, or engagement in any business or activity, which is in conflict with the assigned duties at AU.

23. Few examples of such conflict of interests are,
 - a. Providing benefits to personal business;
 - b. Engaging in any transaction with any business entity in which he/she has a direct or indirect financial interest;

Procedures

1. The DRGS will announce the call for proposals, procedure to apply, and deadlines for RTG proposals by sending an email to college Deans and college secretaries.
2. College deans will circulate this email to all faculty members and relevant personnel in the college.
3. All the research travel grant applications shall be submitted to the Chair of CRC or as per the procedure mentioned in the call and submit by the applicant as per given deadline.
4. Before submitting an application for research travel grant, applicant must seek an approval from the Head of Department and College Dean and declare this in the application form. The applicants are also required to attach all necessary documents, as required and stated in the application form, such as letter of invitation from host institute, AUREC approval (if applicable) etc.
5. Incomplete applications, as received by the given deadline, are automatically disqualified and shall not be considered for further processing.
6. The CRC chair will discuss all RTG applications within CRC and submit CRC recommendations to the dean of GSR. The dean of GSR has the authority to send any application for additional confidential peer-review either internally or externally, if needed.
7. The dean of GSR shall discuss all proposals with council of research for any additional feedback.
8. Considering CRC and CoR feedback, the dean of GSR shall decide the funding of proposals and inform all applicants by sending notification of acceptance/award emails/letters. Such notification emails shall be copied to the CRCC, college Dean, college Secretary, and the VCAA. For successful applications, the total approved budget and the approximate budget allocated in each category (e.g. air fare, visa, accommodation, etc.) must be indicated in the notification of approval email/letter.
9. The Office of Community Engagement (OCE) at AU shall make the necessary arrangements to facilitate travel by providing;
 - a. Assistance in obtaining an entry visa, if applicable
 - b. Arrange return economy class air ticket, as per AU business travel policies.

The awardee shall make a request (by email) to OCE, attach a copy of approval email from DRGS and provide details such as travel dates, documents for visa assistance, as applicable.

10. For RTG, applicant must book accommodation by himself/herself (if needed, e.g. if the awardee is not travelling to his/her home country/city). The accommodation cost can be reimbursed, based on actual booking and payment receipts, provided that the total cost (including air fare, accommodation, bench fee, consumables etc.) shall not exceed to the approved budget.
11. There will be no per-diem or food or local travel etc. expenses will be provided for travel grants.
12. During the travel, the awardee must take pictures/videos, as appropriate and submit a news item to the DRGS coordinator/secretary on return.
13. The DRGS shall forward news item to the marketing team for editing and publishing on social media and other appropriate channels.
14. On return, faculty should submit the following:
 - a. (Within one month of visit) Detailed visit report (see Deliverables) to the chair of CRC. The CRC chair shall discuss report within CRC and forward to the dean of GSR (CC to relevant HoD and the college dean). The HoD and College Dean can send additional comments directly to the dean of GSR, if required;
 - b. (Within one month of visit) Draft version of news item (as explained in deliverables), along with pictures and videos (if possible);



- c. (After 6 months of visit) Short report / email directly to the dean of GSR (CC chair of CRC and college Dean) explaining the impact of travel and outcomes (see Deliverables).

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	04/2017	New policy	Dean of Research and Graduate Studies
V 1.1	30/09/2020	Updated policy	Dean of Research and Graduate Studies

External Research Grants Policy

Policy Owner	Dean of Research and Graduate Studies	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

Purpose

The reason for the policy is to guide Ajman University community in availing externally funded research grants. Ajman University considers external research funding as one of the crucial performance indicators of its research and an important quality measure. The aim of this document is to define the policy and procedures related to the submission and administration of externally funded research projects.

Policy Statements

1. All faculty members are encouraged to seek external research funds. Such grants shall be recognized in the annual assessment/appraisal of faculty members.
2. To ensure that sponsorship is appropriate and fulfil the research vision and mission of the university, all proposals must be made through proper administrative channels as outline in the Procedures section of this document.
3. AU will facilitate the process of obtaining research funds from external agencies or other sources through the DRGS and other relevant offices.
4. The DRGS will communicate, establish and develop ties with various national, regional, and international funding agencies and organizations.
5. The DRGS will inform faculty members about forthcoming research grant opportunities and their deadlines from time to time.
6. DRGS will also facilitate communication with the external funding agency and provide administrative support to interested faculty members to apply for the research grants in accordance with University rules and regulations as well as the requirements of the corresponding funding agency.
7. For externally funded projects, the researchers must include, if permitted by the funding agency, compensation for their, and any support AU staff/faculty, time and effort and other indirect costs as appropriate.
8. The researcher(s) get teaching release time in their teaching load per semester, for the duration of project, by paying the University, through an external research grant (faculty buy-out time), an amount corresponding to the teaching load, as determined by the University. This amount shall be based on the ratio of required release time and the full-time teaching load per semester for the concerned faculty member.
9. AU has the right to receive compensation to cover direct and indirect expenses related to the project, as per funding agency rules and regulations and AU policies. Such expenses include, but not limited to, the overhead cost for its human resources, library, laboratories, facilities etc. This amount will be added in the proposed budget and the final budget will be then submitted to the funding agency.
10. The DRGS will provide support letter to the faculty to submit with their applications, as applicable.
11. The DRGS will determine the responsible person for signing the agreement in accordance with all relevant University policies including intellectual property rights.
12. Faculty who intend to apply for an externally funded research grant must inform DRGS prior to the submission and keep DRGS informed throughout the process.
13. The Principal Investigator (PI) has the primary responsibility for the execution of the research project and for submitting all reports, as set out in the research contract or grant agreement. All requests to the

respective College for personnel and purchasing/lease actions for equipment, goods, and services related to the execution of the research project must be initiated by the PI in compliance with AU Policies and Procedures.

14. DRGS has the responsibility for the administrative oversight of the externally funded project that results from successful proposals (post-award). This includes facilitation of necessary support in procedures related to procurement, hiring, management of funds in compliance with AU Policies and Procedures.
15. PI's are strongly encouraged to involve, whenever possible, AU students (particularly graduate students) in research projects as research assistants.

Procedures

a. Pre-Award

1. Faculty member should first submit an expression of interest (preferably by Email, Cc to college Dean and chair of CRC) to the dean of GSR and show his/her intention to submit a proposal for external research grant and provide details of the call and proposed timeline.
2. In most of the cases, the proposal template is provided by the sponsor, if this is not the case, the prospective PI might request a template/advice from the DRGS .
3. Faculty will prepare proposal, along with suggested budget and communicate with the research collaborators, as applicable. The budget must include both direct and indirect costs using recent quotations for equipment, hardware, software, services etc. The faculty may contact AU relevant offices to estimate and include cost of his/her time (faculty buy-out time), cost of AU facilities, labs, payment rates for research assistants etc., as required.
4. Faculty member will send an email to the dean of GSR (Cc to college Dean and chair of CRC) with the following attachments:
 - a. Summary proposal or full copy of proposal;
 - b. Proposed preliminary budget (if not included in the proposal) with PI, HoD and college Dean signatures, as applicable;
 - c. If a partner institute is involved, a support letter from the partner institute with signatures, as applicable.

This request must be submitted in good time, for DRGS to process further, providing required signatures or advise PI to get signatures, support letter/statement from the University etc.

5. The DRGS is responsible for providing AU support letter, sign or arrange signatures or advise PI to get signatures, as appropriate and return application back to the faculty.
6. The DRGS will assist and contribute in negotiations between the Principal Investigator and the funding agency.
7. Faculty is responsible to keep informed DRGS about the progress of proposal.
8. Upon award of external funding for proposed project, the DRGS will inform the HoD, college Dean, and all concerned departments and request PI to submit an external grant record form.

a. Post-Award

9. When the research grant is awarded, the DRGS will issue a Project number and liaise with the Office of Finance to open an account and provide PI the respective reference number(s).
10. Any correspondence proposing modification of the terms or conditions of a contract or grant, including changes in the scope of the work or the period of performance, or an increase or decrease in the total estimated costs, or change in the Principal Investigator(s) will be forwarded to the DRGS , with an endorsement of the college Dean. If such modifications require an amendment to the research agreement or contract, such an amendment will be reviewed by the DRGS , with support from respective offices, and submitted for University approval to VCAA and communicate to the sponsor.
11. At the conclusion of the project and after submission of the final report, the DRGS will coordinate with

the relevant offices closure of the project fund and the refund and/or utilization of any remaining balance in consistency with the research contract or agreement.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	04/2017	New policy	Dean of Research and Graduate Studies
V1.1	30/09/2020	Updated policy	Dean of Research and Graduate Studies

Research Centers Policy

Policy Owner	Dean of Research and Graduate Studies	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

Purpose

The aim of Research Centers or Centers of Excellence is to establish concentrations of researchers and resources, to develop key research areas of national and international importance that will act as a linkage to other regional/international centers and align research outputs and efforts of AU faculty in a focus direction. In addition, the objectives are to encourage the pursuit of research excellence in key areas, boost research productivity at AU, enable faculty to conduct research that leads to high quality peer-reviewed publications (as per AU Guidelines for Research Publication), establish and nurture research collaborations with international universities/institutes, and leads to submit proposals for external research grants, within or outside UAE.

The objective of this policy is to set out guidelines for the establishment, administration, and reporting of research centers at Ajman University. This policy does not apply to other centers at AU for which the primary objective is not research.

This document also states the policy and procedures related to the hiring of Adjuncts Research Associates for the research centers.

Research Center

A research center is a formally structured unit of the AU, established under the administration of the DRGS, and approved by the VCAA. The purpose of a research center is to engage in research activities, study or other academic focus in specific areas of national or international importance and to encourage research collaborations among colleges, and disciplines. Research centers also provide unique training opportunities for students in the research areas and serve as a valuable information source for the community at large.

Research centers are generally expected to:

1. have clear goals and objectives;
2. bring together scholars from different disciplines and/or areas of specialization within a particular discipline;
3. maintain high levels of research productivity;
4. foster the training of future researchers in a particular discipline;
5. organize seminars and presentations, internally and externally to AU;
6. cooperate with scholars at other universities and/or institutions;
7. actively seek internal as well as external research funding;
8. providing revenue generating consultancy services per the university regulations and in line with the mission and goals of the research center; and
9. providing continuing education training to the community at large.

Policy Statements for Research Center

1. College deans, in consultation with College Research Committee's (CRC) and College Council and Dean of Research and Graduate Studies shall define areas (ideally interdisciplinary in nature) that will be the major focus of developing research expertise for the college and AU.

2. Interdisciplinary research areas are strongly encouraged, each research center must have a host college and collaborating colleges.
3. Each research center must have a name that provides an academic understanding of what the center is about and its research area.
4. Research centers must have clear and well-defined research aims and yearly targets which are aligned with the AU research vision, mission and strategy. The aim of research centers to set strategies to enhance research outcomes and visibility of faculty research in a certain domain.
5. Every research center within the university is accountable through its head to dean of GSR and the VCAA, the host college dean shall be informed in all correspondence. Financial responsibility for the center is vested with the dean of GSR and the VCAA.
6. The head of research center shall report all matters related to research center to the dean of GSR.
7. Research Centers shall be profiled on AU website and eventually evolve as Center of Excellence in a particular area at AU.
8. Each research center will be headed by a Head of Research Center, a senior full-time faculty member in the host college. The head of research center is in charge of the day-to-day running of the center. The DRGS shall nominate the head of research center and approved by the VCAA.
9. The University will provide financial support to hire following for the research centers,
 - a. Full-Time Research Associate (FTRA) or Post-Doctoral Research Fellow
 - b. A number of Adjuncts Research Associates (ARA) as per policy set out in this document.
10. The research center members are selected on the basis of their research interests, they may conduct their individual research related to the general theme of the research center or collaborate with other members of the research centers for joint research.
11. University provide physical space for laboratory, technician (as applicable), computer lab and other resources for the successful operation of the research center, based on request, activities of research center, approved proposal and available budget.
12. All Internal Research Grant (IRG) Cat-2 and IDG projects are expected to be linked to one of research centers in the AU, and all the equipment (hardware as well as software, fixed assets) the university will buy under such grants (i.e. Fixed Assets) will be the kept at research center and the property of AU.
13. On occasion, research centers may involve formal research partnerships with other research centers, universities and/or institutions, with the support from DRGS and the Office of International Academic Affairs.
14. All AU research centers must conform to other AU policies and procedures as well as safety and ethics guidelines.
15. A criteria for the annual evaluation of research center and template to report progress of research centers shall be provided by the DRGS , endorsed by the VCAA.

Policy Statements for Adjunct Research Associates (ARA)

1. Adjunct Research Associates (ARAs) must be distinguished researchers, having a strong research, publications and scholarship track record.
2. The ARA will be awarded a maximum of one-year contract, subject to extension after annual review as per procedures set out in this document.
3. The ARA can carry out their duties (other than of the center) during the working period of their contracts that do not require their presence at AU.
4. Each ARA is expected to work at Ajman University premises/campus for at least 2 weeks / year during the contract period. Such working hours are flexible, and the dates and times can be mutually agreed upon.
5. Ajman University will provide economy class airfare, local transportation and accommodation during their visit to AU.
6. Adjunct research associate will be employed by AU in adjunct positions and report directly to the head of research center. They are required to perform such duties consistent with their position, flexibly and

efficiently, as may time to time may be assigned to them.

7. The adjunct research associates are expected, but not limited, to,
 - a. Publish in Scopus indexed high quartile journals,
 - b. Use Ajman University affiliation in all AU-related publications,
 - c. Collaborate with the other members of the research center or AU faculty, as per their research area,
 - d. Co-supervise masters and doctoral students at Ajman University,
 - e. Abide all the policies, procedures and rules of the Ajman University,
 - f. Be in contact with the AU research center, by email and other internet technologies, attend all research center meetings (e.g. on Zoom/Teams) etc.
 - g. Provide, if asked, a report describing all AU-related activities at any time during the service contract,
 - h. Promote research center and the AU to outside world.
 - i. The adjunct research associates are required to provide a detailed progress report at least a month before the end of their contract period, directly to the head of research center. The head of research center shall forward such reports to the dean of GSR with his/her recommendations.
8. The honorarium for such appointments will range from \$800 - \$1,500 (\$ = US Dollar) per month per ARA for the duration of contract, depending on impact and quality of his/her research. This amount is inclusive of all allowances and can be paid either on a monthly basis to a bank account, or at the end of contract period, as ARA prefers.
9. AU has right to terminate such service contracts at any time without any notice.

Procedures

a. Establishing a Research Center

1. College deans, in consultation with College Research Committee's (CRC) and College Council shall define key areas (ideally interdisciplinary) that will be the major focus of developing research expertise for the college and AU.
2. The interdisciplinary nature of research areas can be identified, and CRC chair (CRCC) along with DRGS further coordinate the process with colleagues in other colleges, to work together to establish an interdisciplinary research center.
3. The head of research center shall be proposed by DRGS and approved by the VCAA.
4. In approving the establishment of a research center, the head of research center shall submit a proposal to the dean of GSR. The proposal for the establishment of research center must have following components:
 - a. Name of research center,
 - b. A concise statement about the vision, and objectives of proposed research center,
 - c. Organizational/Governance structure, that includes suggested head of research center as well nomination of the members from all colleges, as applicable,
 - d. Name of host and collaborative colleges, as applicable,
 - e. Potential benefits to the University,
 - f. External partners and/or members, if applicable,
 - g. List of requirements, potential budget for establishment and management of budget, including physical resources,
 - h. Staff hiring requirements, as applicable.
5. The dean of GSR shall forward proposal to VCAA for final approval with his/her recommendations.
6. The dean of GSR shall notify head of research center, and host college dean (Cc to CRCC, VCAA, Office of Finance, Office of Budget, Internal Audit) the final outcome.
7. The dean of GSR shall propose appropriate budget for the running of research center in the next academic year research budget, after getting draft version of budget from the head of research center.

b. Responsibilities of Head of Research Center

8. The head of center will exercise general supervision over the operation of the center.
9. The head of research center is responsible for,
 - a. holds regular meetings and keeps a record of such meetings;
 - b. manage the full-time research associate appointed for the research center;
 - c. coordinate with the research group members and adjunct research associates;
 - d. advocate research center activities within college(s) in AU and outside, and on Social Media (with support from Office of Marketing) on a regular basis;
 - e. seeking internal and external grants and encourages all members to apply for research grants;
 - f. identify logistics requirements for the research center and submit proposals to DRGS ;
 - g. arrange regular meetings to discuss research center progress, documentation of research center activities and updating research center activities on the AU website;
 - h. document and maintain a record of all minutes of meetings for research center meetings;

c. Administration of Research Center

10. Based on internal agreement between the research center and the host college, the center shall be provided with necessary administrative support from the host college.
11. The head of center must prepare a tentative budget of center and send to the dean of GSR before the submission of proposed budget for the next academic year. The proposal shall include all necessary administrative resources e.g. stationary, IT resources, salary of any associated staff such as laboratory technician, full time research associate, any other expenses related to laboratories including computer labs etc.

d. Annual Reporting Requirements

12. To facilitate the conduct of periodic review of research center, the head of each research center shall provide a detailed annual report directly to the dean of GSR.
13. The head of research center is expected to give a short presentation at the start of each academic year summarizing major activities of research center during the last academic year and plans for the current academic year to host college Dean, dean of GSR, and the VCAA.

e. Adjunct Research Associates (ARA)

14. For the purpose of recruitment and selection of adjunct research associates, the head of the research center in consultation with research center members and other faculty members in the area, identify distinguished researchers and shall discuss such nominations with the college dean of host college.
15. Head of research center shall forward these nominations to the dean of GSR with recommendations (supporting statements).
16. The dean of GSR shall forward nominations to VCAA for a final decision on the appointment of the ARA and communicate back this decision to the head of research center.
17. The VCAA office shall send a part time service contract to the adjunct research associates and once signed, send confirmation back to the DRGS . The DRGS shall inform head of research center, office of Finance, and HR.
18. The adjunct research associates are required to provide a detailed progress report at least a month before the end of their contract period, directly to the head of research center. The head of research center shall forward such reports to the dean of GSR with his/her recommendations.

Document History

Version	Date	Update Information	Author/ Reviewer
V1.0	30/09/2020	Initial Policy	Dean of Research and Graduate Studies

Full Time Research Associates

Policy Owner	Dean of Research and Graduate Studies	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

Purpose

Generally, research centers in AU are supported by a full-time research associate or a post-doctoral research fellow. This document also set the necessary guidelines for the hiring, scope of work / duties of full-time research associate or research fellow, refer as FTRA in the remainder of this document and other DRGS documentation.

Policy Statements

1. The policy statements and procedures stated in this document apply to hire FTRA, or post-doctoral research fellows in the research centers only. This document shall not contradict any other AU HR hiring policies and procedures, in case of any contradiction the HR policies shall override the policies stated in this document.
2. It is the policy of the University to recruit and retain world class research staff for its research centers to fulfil its vision and strategic objectives related to research.
3. The salary structure of the full-time research associates/fellow will be determined by the AU office of HR.
4. The University will provide financial support to research center to hire FTRA or post-doctoral research fellow(s).
5. The number of such hiring for each academic college shall not exceed one, even if a college is hosting more than one research center.
6. Full time research associate or post-doc research fellow generally meet the following criteria:
 - a. Possession of doctorate (terminal) degree from a recognized and ranked institute of higher education;
 - b. Has a good track record of research including publications in the discipline; OR for a fresh graduate a high potential of quality publications as evident from his/her doctorate research;
 - c. Independence in prior research is highly desirable.
7. The hiring process of FTRA is a shared responsibility of the head of center, CRC chair and the college Dean and follow the guidelines defined in the procedures section of this document.
8. The ideal candidate for such positions is the person who has expertise in the broad area of research center, with expertise to work with multiple members of the research group with varying research interests. Few possible examples of such areas are machine learning, biostatistician, data analytics etc.
9. The head of research center is responsible for the annual appraisal of full-time research associate/fellow.
10. The head of research center is responsible for setting objectives, discussing and agreeing on expectations for the day to day duties of the FTRA.
11. Generally, FTRA's will be evaluated on basis of following criteria:
 - a. Scholarship and research including indexed publications in high quality refereed journals, and,
 - b. External or internal funding, and,
 - c. Development of research infrastructure at Ajman University
12. The dean of GSR oversee the performance of all full-time research associates in the University.
13. FTRA must adhere to all university policies and procedures and makes himself/herself aware of all related policies.

Procedures

a. Recruitment and Selection

1. For the recruitment and selection of full-time research associate or research fellow, a hiring process similar to the hiring of faculty will be adopted.
2. Once a research center is established and budget is allocated to hire a research associate, head of research center, in consultation with CRC chair and college Dean, shall prepare a job description and propose selection tools.
3. The head of research center, with the support of other offices in the University, advertise such positions on internal and external recruitment pages, as appropriate.
4. Office of VCAA/HR forwards all applications to head of research center for his/her review.
5. Head of research center shall form an ad-hoc committee to review applications and invite candidates for an interview. The ad-hoc committee may have members from the host or any other collaborating college, as appropriate.
6. Once a suitable candidate is identified, the head of center shall forward details of all interviews (e.g. candidate details, date and time of interview, committee members etc., candidate CV's, committee recommendations/scores etc.) to the host college Dean using a hiring form, provided by the DRGS .
7. Host College Dean shall forward all details with his/her endorsement to the dean of GSR. The dean of GSR shall submit all details along with his/her recommendations to the VCAA for final approval.
8. VCAA office may request DRGS for references from the most recent employer before sending offer letter.
9. DRGS shall communicate final decision to the head of research center, host college Dean, and the Council of Research.
10. VCAA office prepare a job offer and further communicate with the candidate and HR to facilitate recruitment process. All job offers must conform the relevant AU policies for employment.

b. General Duties of a Research Associate / Fellow

1. The main scope of the full-time research associate/fellow job is to engage in academic research with a teaching load of up to 2 courses (including graduate courses) per academic year.
2. The full-time research associate/fellow is line manage by the head of research center.
3. The full-time research associate/fellow is generally expected, but not limited, to:
 - a. conducts research, collects data through various techniques and procedures, library
 - b. research, structured interviews or other project specific methodology etc.;
 - c. actively seek and apply for internal and external grants; define research projects for the research center, and engage with other members in their projects or start new projects with other members, as appropriate;
 - d. manage the laboratory, equipment and research center infrastructure, as appropriate;
 - e. translates, synthesizes and analyzes information of the ongoing project;
 - f. schedules, organizes and reports on status of the ongoing research activities;
 - g. implements the research plans and modifies research techniques, procedures, trials, apparatus or software;
 - h. write and edit material for publication and presentation;
 - i. assist the faculty member with identifying potential research needs or areas;
 - j. prepares progress reports of his/her tasks and submits to head of center annually. This must be included in the annual assessment of the research center;
 - k. engage in teaching a course (maximum one course per Fall/Spring semester), preferably a graduate level course.



c. Performance Evaluation

1. The annual appraiser of FTRA shall be done at the time of faculty evaluation every year.
2. Review meeting at the time of appraisal are scheduled at least one week in advance. These meetings need to be based on the principles of two-way communication. The FTRA is encouraged to discuss issues, job performance, career aspirations, training needs and goals/targets for next academic year.
3. The head of research center and college Dean (if applicable, e.g. if FTRA was engaged in teaching) carry out the review with the FTRA on a template provided by the DRGS , signed by the head of research center, FTRA and college Dean (if applicable).
4. The head of research center send appraisal form to the dean of GSR, whereas the dean of GSR forwards to the VCAA with his/her recommendations.
5. The VCAA also arbitrates any disputes.

History

Version	Date	Update Information	Author/ Reviewer
V1.0	30/09/2020	Initial Policy	Dean of Research and Graduate Studies

Research Release Time Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

Purpose

The aim of research release time is to increase research productivity and scholarly outputs of AU (e.g. Scopus-indexed publications), and to provide opportunity to AU faculty to produce more research outputs that contribute significantly in achieving mission and vision of the university. The other objectives are to establish and nurture research collaborations with international universities/institutes, and leads to submit proposals for external research grants, within or outside UAE.

Policy Statements

1. All colleges in the University follow a fair and consistent process for reviewing and nominating RRT in consideration of balancing college requirements with individual needs.
2. The research release time will be awarded to faculty member(s) in a college, if possible. The research release time and faculty buy-out time should not adversely impact the operations and functions of the college.
3. All RRT nominations shall be approved by the dean of GSR. This policy is mainly applicable for AU faculty teaching undergraduate courses only, any nomination for a graduate faculty must be approved by VCAA and consider on a case-by-case basis.
4. Faculty members, already receiving course release due to their administrative positions/assignments in the university are not eligible for the RRT.
5. Research release time of 3 credit hours per semester for one academic year shall be awarded to selected faculty members(as approved by the Dean of GSR), before or at the start of academic year. The RRT may be awarded to individuals initially for one semester only.
6. Generally, 2 or 3 faculty members per college may be awarded research release time, depending
7. on approved research budget.
8. The college Dean recommends faculty for RRT based on factors such as, but not limited to, potential of producing high quality research outputs, research activity of faculty member during the last 2-3 years, citation profile etc. The other factors based on overall college needs including continuity of course offerings shall also be considered.
9. For colleges, where medium of instruction is Arabic priority shall be given to faculty who publish in Scopus-indexed journals (Arabic or English).

Faculty Buy-Out time

10. Faculty members, upon receiving an approval for external research grant where faculty time was appropriately budgeted, use funds from external grants to buy-out credit hours of their teaching during the project duration, as stipulated in policy related to external research grants.
11. The buy-out rate for course shall be calculated as per AU policies and procedures.

Procedures

a. Nomination and Selection Process

1. The College Dean, with support from head of departments and chair of CRC, if needed, shall review and select top 2 or 3 faculty members who demonstrated excellent performance in research (as per criteria

mentioned in the policy statement section of this policy) during current and last academic year. This shall be done immediately after faculty annual appraisal every year for the next academic year.

2. College dean may form an ad-hoc committee for this task to receive recommendations.
3. If there are two or more departments in a college, all selected faculty members must NOT be from the same department unless there is a compelling reason to do so. In such a case, justification for recommending more than one from the same department must be provided.
4. The college dean shall submit a list of recommended candidates to the dean of GSR with their research credentials (e.g. list of research papers during current year and last year, citation profile, a brief summary of research related activities) and any justifications for their selection.
5. The dean of GSR shall inform the college deans about the names of faculty members selected for research release time for upcoming academic year (or semester, if applicable) and CC email to CRC chair, office of Finance, Budget Office, Office of HR, Internal Audit and VCAA.
6. The college dean shall inform,
 - a. the candidate about his/her selection,
 - b. HoD(s) about the selection so they could accordingly adjust the timetable and arrange for adjunct faculty to cover the load released by these faculty members, if required.

b. Post-Selection

7. College Dean shall arrange a meeting with all selected RRT candidates at the start of academic year, in the presence of head of departments and the chair of CRC, to discuss expectations, work plan and how RRT can be utilized in the most efficient way. Longer term prospects shall be considered.
8. The CRC chair shall send the minutes of meeting (MoM) to DRGS for their records.
9. Faculty receiving RRT, must have a clear plan to use their release time in the best possible way and keep informing chair of CRC and college dean about their progress.

c. Deliverables

10. After completion of the academic year, the RRT faculty must submit a detailed report to the CRC chair, explaining his/her accomplishments resulting from research release time. The chair of CRC shall discuss this report with CRC and college Dean, and forward to the dean of GSR (CC to college Dean) with comments.
11. The RRT faculty shall submit a short report (or send a detailed email) to the dean of GSR (CC chair of CRC and college Dean) in 6 months (from the end of research release time, generally around February) explaining the impact of research release time, and research outcomes to close the Loop.

Document History

Version	Date	Update Information	Author/ Reviewer
V1.0	04/2017	Initial Policy	Dean of Research and Graduate Studies
V1.1	30/09/2020	Updated Policy	Dean of Research and Graduate Studies

Visiting Research Scholar Policy

Policy Owner	Vice Chancellor for Academic Affairs (VCAA)	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

Purpose

The aim of visiting research scholar initiative is to bring to the AU exceptional research scholars who can contribute to and enrich the AU intellectual and research endeavours and international projection.

Generally, the purpose of a visiting research scholar varies, depending upon the college and individuals involved, but generally it is a way to foster networking with international top-class researchers, facilitate collaborative research projects, and as a means of professional development of AU faculty and research staff.

Scope

This document is applicable to all academic colleges at Ajman University (AU). The term visiting research scholar or visiting scholar, as used 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 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 Statements

- 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:
 - An 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 was 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 forwards this report to the DRGS .
- 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 Research and Graduate Studies
V 1.1	30/09/2020	Minor Change- Purpose is added	Dean of Research and Graduate Studies

AU Research Publications Reward Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	Feb. 2023
		Next Review Date	Feb. 2026

Purpose

The Ajman University (AU) Research Publications Rewards policy and procedures aims to honor the efforts of faculty/researchers at AU and encourage them to contribute more in elevating academic research at AU. The objectives are as follows:

- To increase number and quality of AU SCOPUS-indexed papers in leading international journals,
- To encourage and motivate faculty/researchers to contribute actively in AU research vision and mission,
- To promote and encourage faculty/researchers to have collaborative research with international collaborators, and
- To encourage faculty to make possible efforts to improve the visibility of their research outcomes and citations.

Introduction

Ajman University (AU) encourages and requires its faculty members and researchers to conduct high quality and impactful research in their areas of specialization and disseminate their research findings in highly reputable journals. The publication of scientific research is considered as one of the most essential jobs of faculty members and researchers at AU. The University has taken a number of steps to support its faculty towards achieving this goal. As an additional incentive, the AU has adopted a policy to provide a financial reward for the dissemination of quality research in quality SCOPUS-indexed publications.

Policy Statements

The AU research publications rewards are classified into the following categories:

- Category 1: Papers Published in Scopus-Indexed Journals (Non-Arabic) / Patents
- Category 2: International Collaboration
- Category 3: Publications in Arabic Journals
- Category 4: Citations

The financial incentives in category 1 and 2 have been specified for research findings published in Scopus-indexed Q1 and Q2 journals⁵ and/or books only. The maximum financial reward for research publications received by an individual AU author in categories 1, 2, and 3, shall not exceed 20,000 AED, and 10,000 AED per AU author in category 4 (Citations) in one calendar year.

For open access research articles, where AU has contributed to the full (or maximum allowed by AU) payment of Article Processing Charges (APC), the total research reward (to be divided among all authors) shall be as per schedule shown in Table 1-2 minus the APC amount paid by the university.

The eligibility criteria for research reward is as follows:

- At the time of reward, the applicant must be a full-time employee of AU either as a faculty member or full-time research associate or academic support at all instructor ranks, refer as AU author in this document.
- The applicant must use Ajman University affiliation as a primary/main/first affiliation on research output,

and it should be visible on the Scopus website.

- The same research output cannot be used more than once in all categories (except citations).
- The research in all categories (with the exception of Category 3 and 4) should be indexed in SCOPUS (Q1 and Q2 only).
- The research should be published during the dates advertised by the Deanship of Research and Graduate Studies.
- Any research published/submitted in conference proceedings is not eligible for the reward (except citations).
- For categories 1 and 2, the Journal must be indexed by SCOPUS (Scopus Q1 and Q2 only) at the time of calculating research reward.

a. Category 1: Papers Published in Scopus-Indexed Journals (English) / Patents

For journal papers published in the top 10% of Scopus Quartile-1 (75% - 99%) journals, i.e. 90%-99%, the payment per AU author shall be as per Table 1. To identify SCOPUS Quartiles, the only information available on www.scopus.com will be used at the time of calculating research reward; journal quartile classification on SCImago (<https://www.scimagojr.com>) will not be used to evaluate quartile. For more details, please refer to the AU Guidelines for Research Publications document.

1.) Table 1. Financial incentives for papers published in Top 10% of SCOPUS Quartile 1 Journals

SN	Number of Authors Listed on Published Paper	Payment per AU Author (AED)
1	1	10,000
2	2	7,500
3	3	5,000
4	4 or more	18,000 / Number of Authors

For research papers published in other SCOPUS Quartiles 'i.e. Quartile 1 - Quartile 2, the payment per AU author will be reduced (relative to Table 1) as per Table 2.

2.) Table 2. Financial incentive for papers publishes in Q1-Q2 Scopus-indexed journals

SN	SCOPUS Quartile (www.scopus.com)	Payment/AU Author as a percentage of Table 1
1	Quartile 1 (75% – 89%)	80%
2	Quartile 2 (50% – 74%)	60%

For issued patents and non-edited books, the reward may be considered on a case-by-case basis and faculty members are advised to consult with the Dean of Research and Graduate Studies for further advice.

[§] For Scopus Q1 and Q2 definitions and other details, kindly refer to [AU Guidelines for Research Publications](#).

b. Category 2: International Collaboration

Any eligible research output under Category 1 is eligible for an additional payment if one or more authors of the paper are from outside UAE. Research outputs from Category 3 (SCOPUS indexed only) are also eligible for a financial reward in this category.

The additional payment in category 2 is 10% of the payment in category 1, or 3 (as applicable).

c. Category 3: Arabic Publications

For Arabic language journal publications, only the top peer-reviewed journals /publishers, which are categorized as AU-A (or Scopus-indexed) in the AU publication classification, will be considered for the reward. The applicants must submit all peer-review reports (as received from the Journal/Publisher) with their submission. The internal peer-review or peer-review as arranged by the AU College will not be accepted. No financial reward will be offered to non-peer reviewed papers or when peer review reports are not available. The quality of peer-review reports may be assessed by an ad-hoc committee, which submits recommendations to the Deanship of Research and Graduate Studies. The ad-hoc committee may request additional information from the applicant or college dean to make recommendations.

The reward sum in this category will be calculated as follows:

3.) Table 3. Financial incentive for Arabic language publications

SN	Number of Authors Listed on Published Paper	Payment per Paper (AED)
1	N authors per Journal paper	2,000/N per AU author (Non-SCOPUS)

d. Category 4: Citations

A financial reward will be given to AU author(s) for a SCOPUS-indexed output (any Scopus-indexed journal conference paper, or book chapter) that has been extensively cited in this category. The following criteria shall be met for this category reward:

- The output must be published with correct Ajman University affiliation, as a primary/main/first affiliation, on the paper and Scopus website.
- The paper published 5 years ago and the total citations count is for all 5 years up to the date of calculation of the reward e.g. during 2023 research reward cycle, total citations of the Scopus indexed papers published during 2018 shall be used and so on.
- Self-citations may not be counted, depending on restrictions by the automated system.
- Only citations from www.scopus.com are used in the counting (citations from Google scholar or any other indexing database will not be counted).
- The financial incentive for citations is on per paper basis; in case of multiple AU authors the payment in this category will be divided equally among AU authors.

The financial reward under category 4 is awarded only once for any published research output, as defined in Table 4:

4.) Table 4. Number of Citations and Financial Reward

SN	Number of Citations/Output (from SCOPUS.com)	Financial Reward (AED)
1	Greater than 20 and less than	2,000
2	Greater than 40 and less than	4,000
3	> 60	6,000

General Guidelines and Procedures

- The University encourages authors to thoroughly review the SCOPUS website (www.scopus.com) to confirm that the journal they are considering submitting their article to is indexed by SCOPUS. It is important to note that the coverage period may vary and should be carefully reviewed prior to submitting an article for publication. Additionally, it should be acknowledged that the SCOPUS Quartile information may change based on SCOPUS evaluation criteria. In the event that the SCOPUS Quartile changes from the time of submission to the time of publication, the SCOPUS Quartile information at the time of calculating rewards will be used by the University.
- Research reward will be calculated automatically after the first quarter of each calendar year for the previous year outputs and citations as defined in section 3, typically in May.
- The deanship of Research and Graduate Studies supervise research reward calculations and forwards the reward payments to the Office of Human Resources.
- All appeals and disputes relating to AU research publications reward shall be sent directly to the Deanship of Research and Graduate Studies.
- The Deanship of Research and Graduate Studies acknowledges the receipt of grievance to the applicant, and the dean of Research and Graduate Studies forms an independent ad-hoc committee to investigate the grievance.
- The ad-hoc committee submits observations and recommendations to the dean of Research and Graduate Studies, and the final decision is communicated to the applicant.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	21/10/2018	New policy	Dean of Research and Graduate Studies
V 2.0	27/10/2019	Total review and restructure to improve quality of Au Publications: Higher rewards, awarding financial incentives for international collaborations, introducing incentives for highly cited papers/researchers.	Dean of Research and Graduate Studies
V 2.3	30/09/2020	Minor changes on the Title and Procedures	Dean of Research and Graduate Studies
V 2.4	30/11/2021	Minor changes	Dean of Research and Graduate Studies
V 2.5	09/02/2021	Minor changes	Dean of Research and Graduate Studies

AU Authorship Policy

Policy Owner	Vice Chancellor for Academic Affairs (VCAA)	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

Purpose

The purpose of this document is to establish guidelines for authoring scientific publications, for the purpose of this guidance, including articles, abstracts, conference papers, books / book chapters, patents, scientific reports, presentations, applications for funding etc. All Ajman University (AU) faculty, research staff (full time and part time research assistants, research associates etc.), graduate students, undergraduate students (referred to as *AU staff* in the remainder of this document) must be aware and adhered to these guidelines in respect to scientific authorship.

Introduction

It is expected that AU staff involved in the research and scholarly endeavor adhere to the highest ethical standards, including standards related to publication and dissemination of findings and conclusions.

The University fully understands and acknowledges that some diversity exists across AU academic disciplines for authorship and the order of authorship. This document is intended to allow for such variation to disciplinary best practices while ensuring authorship is not inappropriately assigned.

The University expects from all AU staff engaged in scientific research and scholarly work to appropriately acknowledge contributions of all (internal or external and/or colleague or student) involved in the design, conduct or dissemination of the work by neither overly attributing contribution nor ignoring meaningful contributions.

Definitions

AU Staff	AU Faculty (all Academic ranks from Lecturer and above, including adjuncts), Teaching Assistants, Clinical instructors, full time and part time Research Assistants and Research Associates, Postgraduate students, Undergraduate students and any other AU rank that is directly or indirectly engaged in scientific research and scholarly work
Scientific Publication	Any publication (including creative output) resulting from a scholarly activity (definition of scholarly activity as per CAA standards), that may include but not limited to research articles, abstracts, conference papers, books / book chapters, patents, scientific reports, presentations, applications for internal/external funding etc.
Main Author	The person who leads a scientific research/activity and makes the largest contribution to it compared to other co-authors, generally first author of the publication. The main author meets authoring criteria and shall ensure that the authoring standards apply to the authors involved as well as the final approval of the research and its preparation for publication. In addition, he/she and the other co-authors have full responsibility for the integrity of the academic research.
Corresponding Author	Corresponding author is normally the most experienced author who is responsible for the manuscript correction, proof reading, correspondence responsibilities during the

submission process with the editors, handling the revisions and re-submission of revised manuscripts up to the acceptance of the manuscripts.

Co-Authors	The person(s) who participates and make substantial contributions in a scholarly activity and in the preparation of publication. Each co-author is responsible for considering his or her role in the project and whether that role merits attribution of authorship. Co-authors should review and approve the manuscript, at least as it pertains to their roles in the project.
Gift Author	Person who is included as an author in the scientific publication and has not contributed to the production and publication of the academic work and does not meet authorship criteria.
Ghost Author	Person who contributes in the scholarly activity and/or perpetration of a scientific publication, meets the criteria of authorship, but his or her name is not listed as an author.

Criteria for Authorship

Authorship of a scientific publication should be limited to those individuals who intellectually contribute in a meaningful and substantive way to its content. All authors are responsible for fairly evaluating their roles in the overall scholarly activity as well as the roles of their co-authors to ensure that authorship is attributed according to these standards in all publications for which they will be listed as an author.

Each author should participate sufficiently in the work to take public responsibility for its content. All co-authors should be directly involved in all three of the following:

1. Scholarship: Contribution to some components e.g. initiating concept, nurturing concept, design, conducting experiment/survey, analysis or interpretation of results etc. of the work which leads to the scientific publication or interpreting at least a portion of the results;
2. Authorship: Participation in drafting, reviewing and/or revising the manuscript; and
3. Approval: Approve the manuscript/presentation/paper to submit for dissemination. All authors should review and approve the manuscript before it is submitted for publication.

This is general guideline only and may not apply to all disciplines or journals which may set different standards. For such cases, AU staff is advised to seek further guidance from the Deanship of Research and Graduate Studies.

Policy Statements

- AU staff must abide by all research related standards drafted in other AU or Deanship of Research and Graduate Studies (DRGS) documentation and ethical principles and standards adopted internationally in relation to the integrity of scientific research and publications.

Authorship

- All external research collaborators who satisfy the criteria for authorship should be included as authors irrespective of their institutional affiliations. The use of Gift and Ghost author is immoral.
- Authors have full responsibility for the integrity of the academic research. AU bears no responsibility for the content of a research publication.
- It is the main author's responsibility to ensure that research ethics approval is obtained before starting a research work and submission of a scientific publication, if applicable.
- Wherever possible, authorship should be agreed on by all team at an early stage of research.

Order of Authors

- AU staff must adhere to the professional standards and norm in their fields to determine the order of authors in the scientific publication (joint research work). The authors' order responsibility lies with the main author and should be based on the actual contribution of the scientific work and research publication. It is not possible for the university to define the order of authorship.
- The main author, all potential authors and order of authors must be defined and agreed on as early as possible in the research work (e.g. at the start of writing a scientific publication). This information shall be communicated to all authors by the main authors by email and a written record of this communication should be kept.
- To avoid confusion and conflict in the order of authorship, discussion of attribution should be initiated early in the development of any collaborative publication.

Student's/Research Assistants Rights in Authorship

- AU faculty must respect the students' (undergraduate and graduate) and research assistants (RA's) rights to their intellectual contributions, and their right to publish the results of their research and research projects or to register intellectual property, as applicable.
- Faculty must also acknowledge the contributions of students/RA and include them as authors (including main author, as appropriate) whenever they meet the criteria for authorship. The use of ghost author is immoral and constitutes a violation of this policy.

Disputes

- For disputes (e.g. in Authorship, Order of Authorship or any related matter) that cannot be resolved amicably, individuals seek the guidance of the dean of their college. The college dean should mediate an effort to resolve dispute.
- In cases that cannot be resolved, the college dean forward such requests to the Dean of Research and Graduate Studies for a final decision.

Acknowledgements

- Authors must acknowledge the source of funding (e.g. AU Funded Internal Research Grants or any other funding body as per their requirements) in the acknowledgement section of the scientific publication.
- Contributions that do not meet the criteria for authorship must be recognized e.g. in the acknowledgement section of the scientific publication.

AU Affiliation

- AU staff may use another institute affiliation, only as second or higher affiliation, in the production of scientific publication if Ajman University is mentioned as their first/primary affiliation only.
- It is the author's responsibility to ensure that correct Ajman University affiliation appears on all scientific publications.
- If AU staff notice incorrect Ajman University name on any submission portal, they are required to contact DRGS or Library ASAP for the correction in the submission portal before submitting their paper.
- The use of another affiliation of AU staff, without AU affiliation, in any scientific publication is a clear violation of AU regulations and is subject to a disciplinary action.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	30/01/2020	New policy	Dean of Research and Graduate Studies
V 1.1	30/09/2020	Minor change on the policy title	Dean of Research and Graduate Studies

Research Article Publication Fee Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 2024

Purpose

Ajman University (AU) is committed to disseminating its research and scholarships to a wider community as much as possible, and to contributing to academic community and society, in line with its research strategy and core values. Publication charges may include Open Access (OA), submission or any other relevant fees. Open Access to research publications means making them freely available online rather than charging readers to read and use them. In this regard, AU developed a policy to facilitate publication of research articles, including OA publishing of high-quality articles written by AU researchers, thereby making AU research more accessible, and increasing the research visibility, impact and citations for the benefit of the researchers, the University and the society.

Introduction

An Article Processing Charge (APC) is a fee charged to authors in order to publish a research article in an OA academic journal. Publishing in OA journals has become a firm feature of the research and scholarly community since the last two decades. The OA journals referred to in this policy are high quality peer-reviewed journals, which are published online and are freely available immediately after publishing. Such journals do not charge the subscription fees but expect from authors (or their universities/institutions) payment of a one-off APC before publication to ensure the article will be freely and indefinitely available to end users.

For all publication fee categories, the following criteria must be satisfied:

- The correct AU affiliation must be clearly shown on the research paper;
- The author's primary/first affiliation must be to AU in accepted research papers, except for Adjunct Research Associates (ARA);
- Any payment under this policy is subject to the availability of budget and funds.

Policy Statements

- **OA Article Processing Charges (APC):** To be eligible to apply for OA APC payment, the following criteria must be satisfied:
 - The research paper is accepted for publication in an OA journal that is classified as Scopus-Q1 or Scopus-Q2, as calculated from Scopus website based on CiteScore percentile, at the time of evaluating the application. For more details, refer to AU Guidelines for Research Publications;
 - The author's primary/first affiliation must be to AU in accepted research papers.
- The AU maximum financial contributions limit toward supporting an OA APC fee is USD 1,500 only. However, in some cases where the paper is accepted for publication in an AU-A* journal, exceptions can be made on a case-by-case basis, upon the approval of the Dean of Research and Graduate Studies.
- A request for the OA APC payment must be made within 2 months of acceptance and prior to the submission of the final camera-ready version of the paper and to the payment of publication fees.
- In case of collaborative research articles with at least one non-AU author, a full or partial contribution to OA APC may be offered by AU on a case-by-case basis upon the approval of the Dean of Research and Graduate Studies. The order of authorship or significance of contribution is a key factor in determining full, partial or no financial contributions from AU. Normally, a full payment may be offered if the main

author (e.g. first or corresponding) is affiliated to AU, the total number of AU authors is above 50% in the paper, paper is from an AU funded research grant and all listed authors are part of project team (investigators and hourly paid research assistant) etc.

- By applying, the author agrees that all financial contributions received from AU under this policy, shall be strictly used for the intended purposes only.
- AU author must submit the application directly to the DRGS , and the APC fee must be paid by the same AU author who submitted the request and received the approval. The University will not reimburse money to any other collaborating author.
- AU author must acknowledge the University's support in the final published version of the paper.

Editing Charges

- AU may contribute towards the payment of Editing charges, based on a request submitted directly to the DRGS with all supporting evidence (e.g. email from publisher, invoice, copy of paper, etc.), if following conditions are met:
 - If the paper is provisionally accepted or in final stages of acceptance in a top 10 percentile of a Scopus-indexed journal in authors' research area (i.e. AU-A* and Scopus indexed) where all other reviewers' comments were taken care of except the final editing and/or publisher required authors to submit a proof of professional editing;
 - If AU author is the main (e.g. first or corresponding) author OR if at least half the authors are affiliated to AU.
- For editing service expenses, if approved by the DRGS , up to USD 400 per paper can be reimbursed upon presenting: 1) A proof of payment for the editing charges, 2) Both edited and unedited versions of the paper, 3) An evidence of the paper acceptance and 4) DRGS notification of approval.

Translation charges

- Ajman University may contribute towards the payment of translation charges, based on a request submitted directly to the DRGS with all supporting evidence, if following conditions are met:
 - Applicant is teaching in a program where the main medium of instruction is Arabic;
 - The paper is accepted for publication in a Scopus-Q1 or Scopus-Q2 journal (as calculated from Scopus website based on CiteScore percentile. For details, refer to AU Guidelines for Research Publications);
 - The AU author primary/first affiliation must be to AU.
- For translation service expenses, if approved by the DRGS , up to 400 USD per paper can be reimbursed upon presenting: 1) A proof of payment for the translation charges, 2) Both original and translated versions of the paper, 3) An evidence of paper acceptance and 4) DRGS notification of approval.

Submission Charges

- OA as well as subscription-based journals may charge a small fee at the time of manuscript submission to help to fund editorial and peer review administration. At the time of writing this policy, this submission fee is applicable in the disciplines of Finance and Accounting only, and this section of policy is applicable only to Faculty whose research areas are in Finance and Accounting.
- To be eligible to apply for the reimbursement of submission fee, the following criteria must be satisfied:
 - The research paper is submitted for publication in a journal that is classified as Scopus-Q1 or Scopus-Q2 (as calculated from [Scopus website](#) based on CiteScore percentile. For more details, you can refer to *AU Guidelines for Research Publications*) at the time of submitting paper;
 - AU author must be either first or corresponding author of the paper;
 - AU author primary/first affiliation must be to AU.
- The cost of a single submission fee expense shall not exceed USD 500.
- The AU maximum financial contributions toward supporting submission fee will be USD 800 per faculty per academic year.

Application Procedure

Procedure related to Open Access APC

- As soon as an eligible research article (as per the eligibility criteria defined in Policy statements of this document) is accepted, the author should submit an application (by email) to the DRGS coordinator/secretary by providing the following information:
 - A copy of the accepted paper, showing the names and affiliations of all authors;
 - The title of the Journal, with evidence that it is Scopus-Q1/Q2 (e.g. link or latest screenshot from the Scopus website);
 - A notification of acceptance (e.g. email or letter) from the journal/publisher;
 - The total APC cost (including taxes and discounts, as applicable), with a copy of the invoice, if possible.
- The DRGS shall process the request, if eligible, obtain a budget approval and inform the applicant.
- After receiving an approval, the AU author (applicant who submitted the request) shall pay the APC fee and apply for reimbursement to the DRGS coordinator/secretary by submitting:
 - A copy of the approval notification from the DRGS ;
 - A proof of payment along with a copy of debit/credit card indicating the amount paid by the applicant.
 - In case of partial payment, the applicant shall provide a proof of payment made by the applicant himself/herself OR other necessary documentation showing if any of the co-authors paid APC fee, along with a declaration form (it can be obtained from the DRGS).
- The DRGS coordinator shall process the reimbursement application and facilitate the process.

Procedure related to Submission Fee

- Faculty members can raise informal enquiries to the DRGS to check their eligibility before submitting any article and paying the submission fee. As soon as an eligible research article is submitted, the author should submit an application to the DRGS coordinator/secretary by providing the following information:
 - Copy of the submitted paper, showing name and affiliations of all authors.
 - The title of the Journal, with evidence that it is Scopus-Q1/Q2 (e.g., latest screenshot from the Scopus website);
 - An evidence which shows that the paper is submitted to the journal and AU author paid the submission fee;
 - An invoice of the charges and proof of payment.
- The DRGS coordinator shall process the request, if eligible, obtain a budget approval and reimburse the amount as per this policy.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	30/09/2020	Initial Policy	Dean of Research and Graduate Studies
	21/04/2021	The policy title and the statements have been updated. This policy is formerly called Open Access Article Processing Charge (APC) policy	Dean of Research and Graduate Studies

Research Conferences Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

Purpose

AU is committed to disseminating its research and academic activities of faculty members to a wider community, and to contribute to academic community and society, in line with its research strategy and core values. The aim of this policy is to set guidelines to sponsor AU researchers to attend scientific conferences and workshops to enrich the scientific and technical experience of faculty members. The objectives are (1) to encourage innovative research at AU, (2) to enable AU researchers to exchange knowledge and research ideas and increase AU participation at international forums, (3) increase AU Scopus indexed research outputs, and (4) to provide opportunities to all AU research community to gain knowledge and experience in his/her research area.

Policy Statements

1. The provisions of this policy shall apply to all faculty members of Ajman University regardless of their ranks as well as Full Time Research Associates (FTRA) or Post-docs working with research centers.
2. The scope of this policy document is restricted to only those applications, where an AU researcher paper is accepted for presentation in a conference and applicant will be travelling to present paper. 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 dealt with other relevant AU policies and procedures.
3. The applicant must use correct AU affiliation as primary or first affiliation in the paper.
4. 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.
5. The Vice-Chancellor for Academic Affairs (VCAA) has the authority to approve or reject participation of a faculty member or FTRA, in a research conference upon receiving the recommendation made by the dean of GSR.
6. All conference participation applications must be forwarded to the VCAA for a final decision, irrespective of the recommendations of approval/rejection made by college level ad-hoc committees, college dean and/or the dean of GSR.
7. 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 college 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.
8. An applicant may also be permitted to attend an additional conference during an academic year if he/she is invited (e.g. as an invited or keynote speaker) and all expenses are totally borne by the conference organizers or faculty is willing to bear all expenses by himself/herself.
9. The same approval process is used for AU funded, Self-funded (or funded from a third party), local conferences or registration only requests, as describe in the procedure section of this document.

10. AU faculty member may not participate in a conference when his/her presence at the University is deemed necessary by the Head of Department (HoD) and college dean. Such cases may include the following:
 - a. Examination periods,
 - b. Students' registration periods,
 - c. Visit of an academic accreditation team to the faculty member's department,
 - d. During summer semester if the faculty member is teaching a course.
11. 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 GSR and submitting the documents of conference postponement and its announcement of new dates.
12. 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.
13. A faculty member, previously supported by AU to attend a research conference based on an abstract submission, is eligible to apply for next research conference travel support from AU if the published abstract is demonstrated to be indexed by SCOPUS and citable OR the faculty member has submitted or published or demonstrated substantial work for a publication in a SCOPUS-indexed journal based on the previously presented abstract.
14. Applicant must submit a conference participation application to the University within a week of receiving the notification of acceptance from the conference.
15. Generally, it is expected that conference participation applications must be submitted during the Spring and Fall semesters only. In special cases, when an applicant is expecting to receive a notification of acceptance during the summer, he/she must inform HoD, college Dean and the DRGS in advance (e.g. before the end of second semester) and a provisional acceptance might be issued.

Financial Allocations

16. The AU contribution to support a faculty member to attend an international research conference shall not exceed 13,000 AED including all costs such as registration fee, travel, accommodation, visa fee, per-diem etc.
17. The funding approved for presentation of a research paper may cover the following (as per AU Business Travel policy):
 - a. Conference registration fee, as applicable,
 - b. A return economy class airfare ticket from the UAE (or from another airport of choice during approved leaves, provided the airfare from that airport is not higher than the fare from UAE) to the conference host country,
 - c. Visa fee, if applicable,
 - d. Per diem for the duration of the conference (maximum three days) as well as per diem for the additional days as per AU Business Travel policy.
 - e. Participants receive 50% funding per diem if the organizing host provides accommodation.
18. The return airfare and hotel accommodation, as applicable, must be booked by AU Public Relations Office (PRO).

Procedures

Approval process

1. Faculty members or FTRAs interested in presenting their papers at research conferences shall submit their request (using Conference Participation Application Form) to their HoD or the head of Research Center.



2. The applicant must submit an application within a week of receiving the notification of acceptance from the conference with the following documents:
 - a. Conference Participation Application Form (fill all relevant sections of the form),
 - b. A copy of the accepted research paper,
 - c. Notification of acceptance email or a letter showing paper is accepted in the conference for oral presentation,
 - d. Peer review reports of the paper from the conference, if applicable,
 - e. Indexing information of the conference (e.g. screenshot of the conference website, or screenshots of the previous conference proceedings from Scopus.com).
 - f. Any other document, as necessary.
3. The HoD/Head of research center shall form an ad-hoc committee to review the application and provide its recommendation (by filling relevant section of the Conference Participation Application form) to the college Dean.
4. The ad-hoc committee shall consist of at least three members, including the department representative of the CRC or the chair of CRC.
5. 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
 - b. organization or association,
 - c. The conference has good reputation in the specialized discipline,
 - d. The papers published in the conference proceedings will be indexed by reputed sources such as Scopus.
6. The college dean, after his/her endorsement (in the relevant section of Conference Participation Application Form), obtain budget approval (LPO form) and forwards completed application with all supporting documents to the Deanship of Research and Graduate Studies.
7. The dean of RGS shall add his/her recommendations (in the relevant section of Conference Participation Application Form) and forward complete application to the VCAA for a final decision.
8. The final decision shall be communicated back to the applicant by the DRGS .

Post-Approval Process

9. After receiving decision letter/email from the DRGS , the applicant shall liaise with the AU PRO, who will provide assistance in the following:
 - a. Assist participant in obtaining an entry visa, if required
 - a. Issue air tickets and arrange accommodation for the conference travel.
10. A faculty member funded to attend a conference shall, upon his/her return, submit the Expenditure Reimbursement Form to the College Dean, with necessary attachments such as,
 - a. Copy of the passport with entry and departure stamps, or copy of boarding passes
 - b. Visa fee receipt (if paid by the applicant)
 - c. Registration receipts (if applicable and paid by the applicant)
 - d. Applicable Per Diem charges as mentioned in LPO and as per AU BT policy.
11. The college shall submit all documents to the DRGS coordinator/secretary for reimbursement of requested funds. The DRGS shall forward these documents to the Office of Human Resource for the payment.

12. For non-AU-funded conference participation, applicant can pay registration fee (after obtaining an approval from DRGS) and apply for reimbursement with receipts, credit card statements etc., as applicable.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	21/10/2018	New policy	Dean of Research and Graduate Studies
V 1.1	30/09/2020	Revision- Addition of Purpose and Changes on the Policy Statements	Dean of Research and Graduate Studies

Graduate Assistant (GA) Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	March 2023
		Next Review Date	March 2026

1. Purpose

The aim of graduate assistantship is to promote graduate programs at AU, increase enrollment in AU graduate programs and produce graduate students who become more learned, creative, and professional individual through formal instruction, interaction with faculty, research, and relevant academic experience. The objective of this initiative is to increase AU research outputs and to provide support to graduate faculty in their research.

2. Policy Statements

1. A Graduate Assistant (GA) is an individual who serves AU in a support role (teaching or research) while completing his/her graduate studies at AU.
2. The AU may offer selected graduate students
 - a. Sponsored Graduate Research Assistant (SGRA)
 - b. Sponsored Graduate Teaching Assistant (SGTA)
3. For graduate programs offered by AU, the University provides financial support to GA's in terms of full or partial tuition fee waiver and a monthly stipend in some categories. A GA be enrolled as a full-time graduate student i.e. taking credits as per study plan in the University for the duration of their assignments.
4. The graduate assistantships can be terminated by the University.
5. The graduate assistantship will be provided during Fall and Spring semester only.
6. The maximum duration of graduate assistantship is the approved minimum official duration of the program.
7. Graduate assistantship is contingent upon student status, satisfactory degree progress (i.e. CGPA), and performance evaluation. For full GA's (working 20 hours/week), the supervisor must certify the performance as Good or higher, while for other categories, the performance must be graded as at least satisfactory at the end of each regular semester (i.e. Fall and Spring semesters only), endorsed by college Dean.
8. A GA must devote effort to formal study and assigned duties of teaching or research that are designed to enhance their university education. The Sponsored Graduate Teaching Assistants assist in the teaching of related undergraduate programs only. The stipend (as applicable) and/or Credit Hour (CR) fee reduction received by the GA is in recognition of these services and continuity of assistantship is subject to their satisfactory performance.
9. The full GA's (working 20 hours/week) shall work in the University as a full-time graduate student without any other part-time or full-time job, within or outside University, and must not be recipient of any other AU scholarship or discount (either partial or full discount). Further, full GA's shall not be hired as Hourly Paid Research Assistants (HPRA) in AU internally funded research grants.
10. The appointing academic program coordinator and college dean determines service requirements of students who hold these assistantships. In all cases, the award obligate awardees to no more than 20 hours per week of services that make a substantive contribution to the student's academic and professional development. If the GA determines that he/she cannot meet the requirements of the award, it is imperative that he/she notifies the program coordinator to initiate renegotiation or reassignment of the award with correspondingly less support.
11. It is a responsibility of the Graduate Program Coordinator and/or supervisor to make sure that the graduate assistants are fully aware of all related policies and procedures and abide them.
12. For all GA categories, students are expected to register required number of credit hours, as per their study plan and other university requirements.

13. The following table summarises the SGRA categories and related requirements (applicable for all programs except graduate programs offered by College of Dentistry and College of Pharmacy and Health Sciences):

SGRA Category	Maximum Tuition Fee Supported by AU (per semester)	SGRA Working Hours / week	Monthly Stipend (AED)	Minimum CGPA Requirements
Cat-1 SGRA (Full SGRA)	100% tuition fee up to 9 credit hours	20	4,000	3.5
Cat-2 SGRA (Half SGRA)	50% tuition fee up to 4.5 credit hours	10	2,000	3.0
Cat-3 SGRA (3-CR SGRA)	3 credit hours	5	0	3.0

The Cat-1 SGRA and Cat-2 SGRA are valid for all master's programs where thesis is a requirement as part of degree completion while Cat-3 SGRA is applicable to all graduate programs.

14. The following points summarises the SGRA arrangements in the College of Pharmacy and Health Sciences (SGRA-Pharmacy):

- Graduate assistantship is provided to selected candidates for the partial tuition fee waiver (up to two third tuition waiver throughout the whole programme) as long as the GA maintains a good standing status and fulfils his/her graduate assistant duties as assigned by the College Dean. No further compensations or stipend is to be provided to the GA.
- The GA provide their services as SGRA-Pharmacy for up to 14 working hours per week during the first three semesters of their study in the program. For tuition fee waiver of less than two third of the full tuition fee, the working hours are considered on a pro-rata basis.
- The SGRA-Pharmacy must maintain a minimum CGPA of 3.0 throughout the program duration.
- The SGRA-Pharmacy must follow the study plan devised by the college and complete their program over a maximum of 5 semesters.

15. The following points summarises the SGTA arrangements in the college of Dentistry:

- Graduate assistantship is provided to selected candidates in the form of tuition fees waiver of up to 76,000 AED per academic year throughout the duration of programme as long as the GA maintains a good standing status and fulfils his/her graduate assistanceship (i.e. SGTA-Dentistry) duties as assigned by the College Dean. No further compensations are to be provided to the graduate assistants.
- The SGTA-Dentistry must maintain a minimum CGPA of 3.0 throughout the program duration.
- The GA provide their services as SGTA-Dentistry for up to 20 working hours per week throughout the program. For tuition fee waiver of less than 76,000 AED per academic year, the working hours are considered on a pro-rata basis.
For any number of working hours less than 20 hours per week, the tuition fee waiver is counted on pro-rata basis. No further compensations are to be provided to the SGTA-Dentistry.

16. The following points summarises the SGTA arrangements in the College of Pharmacy and Health Sciences (SGTA-Pharmacy):

- Graduate assistantship is provided to selected candidates in the form of full tuition fee waiver throughout the duration of programme as long as the GA maintains a good standing status and fulfils his/her graduate assistanceship (i.e. SGTA-Pharmacy) duties as assigned by the College Dean. No further compensations are to be provided to the graduate assistants.
- The GA provide their services as SGTA-Pharmacy for 20 working hours per week during the first three semesters of their study in the program.
- The SGTA-Pharmacy must maintain a minimum CGPA of 3.0 throughout the program duration.

- The SGTA-Pharmacy must follow the study plan devised by the college and complete their program over a maximum of 5 semesters.

3. Relevant Procedures

Selection Procedures

1. The dean of Deanship of Research and Graduate Studies allocates a suitable budget for relevant graduate assistantship (excluding some categories where budget is allocated by the respective colleges) for graduate programs and informs graduate program coordinators and college deans the allocated funds (i.e. total number of credit hours supported and funds for monthly stipend) as soon as budget is approved.
2. The Graduate Program Coordinators, and College Deans advertise such positions and also use their personal contacts to search outstanding graduates with strong potential for graduate studies and research to apply for these positions. They can also use their networking to invite outstanding graduates from UAE or abroad.
3. All students enroll in the program shall have the opportunity to apply and compete for graduate assistantship, as they wish.
4. At the start of each academic year, the college Dean shall form an ad-hoc selection committee to review student applications, interview the short-listed candidates, assess candidates based on a pre-defined criterion and recommend candidates to the dean of Deanship of Research and Graduate Studies for approval. The college dean send all details, such as recommendation form (with scores against set criteria), CV's of short listed candidates, copy of email/advertisement sent to all students etc. to the Deanship of Research and Graduate Studies with recommendations.
5. The dean of Deanship of Research and Graduate Studies send approval to the college Dean and notify other relevant offices such as Audit, Finance etc. College Dean, then, inform applicants formally and hire them on the positions.
6. All selected GA's will be required to sign service contracts before commencing their work.
7. The graduate program coordinator and college dean will be responsible for assigning a supervisor for each SGRA, while SGTA will work under the program coordinator and college Dean.
8. 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. ^[17]_{SEP}

Roles and Responsibilities of SGTA and SGRA

17. SGRA are typically involve in conducting research under the supervision of a faculty member or a senior researcher. Their roles and responsibilities may vary depending on the field of study, the research project, and the requirements of the faculty member or researcher they are working with. Some of the typical roles and responsibilities of GRAs include:
 - Successfully executing the tasks assigned to him/her as per agreed upon criteria communicated by the Dean of the College and/or Supervisor;
 - Conducting literature reviews and collecting data relevant to the research project;
 - Assisting with experimental design and data collection;
 - Conducting statistical analyses and interpreting research findings;
 - Participating in lab meetings and presenting research findings;
 - Collaborating with other members of the research team;
 - Assisting with grant proposal writing and manuscript preparation;
 - Cooperate with the Supervisor and Staff Members; shall fulfill all research tasks assigned to them as part-time Research Assistant in the best possible manner and to complete satisfaction of research supervisor(s) assigned by his/her department/college.

18. The typical role and responsibilities of SGTA (Pharmacy and Dentistry) are as follows:

- Conduct Seminars/ workshops /work in labs/clinical activities as assigned by supervisor;
- Lectures in the Campus when needed;
- Work according to supervisor direction and supervision;
- Ensure applying the safety roles set by AU EHS office in the labs and clinics, as applicable;
- Manage the lab/clinic discussion at the beginning of each session, as per supervisor instructions;
- Work in the lab or clinic to provide support to the faculty;
- Assist the faculty in planning and preparation for lab and clinical activities;
- Plan, prepare, and develop various teaching aids;
- Assist faculty in all clinical and lab assessment tasks including exam invigilation;
- Prepare for the lab or clinical demonstration including models, instrument, etc. before the beginning of lecture, lab or clinical sessions;
- Work with clinical staffs to provide quality patient treatments;
- Refer patients to appropriate specialists when needed;
- Stay abreast with latest developments and techniques in their area;
- Work with clinical staffs in managing patient appointments and scheduling to achieve productivity goals;

Progress Monitoring

1. Graduate Assistants should have regular meetings with the appointed supervisors on a regular basis and keep a record of such meetings.
2. Graduate Assistants submit progress report to the supervisor, who submits report with his/her evaluation to the college member of Council of Graduate Studies, at the end of each Fall and Spring semesters.
3. The college member of Council of Graduate Studies forwards progress report to the Deanship of Research and Graduate Studies 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 Research and Graduate Studies
V 1.1	01/10/2020	Updated Policy	Dean of Research and Graduate Studies
V 1.2	07/12/2022	Minor updates	Dean of Research and Graduate Studies
V 1.3	29/03/2023	Minor updates	Dean of Research and Graduate Studies

Thesis and Dissertation Support Policy

Policy Owner(s)	Vice-Chancellor for Academic Affairs	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	Jul. 2021
		Next Review Date	Jul. 2024

Introduction

Ajman University (AU) is committed to support graduate research through the provision of access to university facilities and resources, appropriate environment for research activity, nurture creative thinking, inquiry, and scholarship. AU ensures all adequate resources required for its graduate students' thesis or dissertation are available in a way that takes reasonable account of individual needs, abilities, and expectations. The aim of this policy is to provide general guidelines to support graduate students in their research related to their theses or dissertations. This policy should be read in conjunction with other relevant policies and avenues of support for graduate researchers, including the AU Graduate Studies Policies and Procedures and other relevant DRGS policies and procedures.

Definition

A list of abbreviations is defined in [By-Laws](#) for DRGS .

Scope

This policy is applicable to all academic colleges offering graduate programs at Ajman University. The policy is relevant to the following:

1. College Deans
2. Head of Department (HoD)
3. Graduate Program Coordinators (GPC)
4. Thesis/Dissertation Supervisors
5. Graduate students
6. Office of Finance
7. Office of Budget
8. Audit Office

Policy Statements

Thesis or Dissertation supervisor will approve thesis/dissertation proposals only when adequate resources are available to support the proposed research project, including training required to meet all regulatory and CAA obligations necessary to undertake the research.

- All graduate research students will be provided access to necessary information and communications technology appropriate to their study, research project and mode of enrolment.
- Graduate student supervisor assesses the need for any additional resources necessary for the thesis/dissertation/project at the point of submission of thesis/dissertation proposal. The college can either fund or make a request to DRGS to make arrangements for difference between the standard provisions and any alternative requirements necessary for the thesis/dissertation/project at the time of proposal submission.

- DRGS will allocate reasonable funds to support Thesis/Dissertation (graduate research) for every academic year in the research budget.
- The DRGS may fund at its discretion necessary funds to graduate students, depending on requirements and availability of funds.
- The graduate student thesis support funds will be used only for purchasing hardware, software, testing samples, data collection, buying database and/or subscription and related categories only. Under these funds no money will be paid to student, supervisor, research assistant or any other personnel.
- Additional support may also be provided to doctoral students to attend maximum of two national/international conferences during the complete degree program, according to AU Conference Policy. University travel regulations apply.

Procedures

- The Dean of Research and Graduate Studies shall propose budget for graduate student thesis support for each academic year.
- Supervisor shall identify the need for any additional (outside standard provision) resources necessary for the thesis/dissertation/project at the point of submission of thesis/dissertation proposal.
- Supervisor prepares a request for thesis/dissertation funds (under this policy) and submit to college Dean (cc graduate program coordinator). The college Dean either fulfil requirement from the available resources in the college or forwards request to the Dean of Research and Graduate Studies with his/her endorsement. The request must have all necessary details, with supporting documents, and expected outcomes.
- Dean of Research and Graduate Studies shall review the request, consult with Supervisor, program coordinator or college dean, if needed, and communicate decision back to the college Dean (CC to student supervisor, program coordinator, office of Finance, Budget and internal audit).

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	06/07/2021	New Policy	Dean of Research and Graduate Studies

Graduate Faculty Thesis/Dissertation Load Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Deanship of Research and Graduate Studies
Approved By	Chancellor	Effective Date	Oct. 2021
		Next Review Date	Oct. 2024

Purpose

This policy aims to provide guidelines related to the thesis/dissertation (Masters and Doctoral programmes) supervision for the graduate programs offered at Ajman University (AU).

Policy and Procedures

Ajman University strongly encourages all academic colleges to implement faculty workload allocation for thesis/dissertation supervision that is included in calculation of normal teaching load of faculty. All outload cases are considered as exceptions.

Master's programs – Inload

1. For the master's programs, the equivalent teaching load for the supervision of thesis (or masters level graduation project) is 1 credit hour per student for the entire duration of thesis/project registration. If the thesis/project work is not completed in the required period as per study plan of the program, then the thesis will be registered as In progress (IP) with zero supervision load to the faculty till completion.

Doctoral programs – Inload

2. For the doctoral programs, the equivalent teaching load for the supervision of dissertations is 4 credit hour per student for the entire duration of dissertation registration. If the dissertation work is not completed in the required period as per study plan of the program, then the dissertation will be registered as in progress (IP) with zero load to faculty.

Additional Guidelines

3. Normally, a faculty member may not receive more than 3 credit hour per semester for the supervision of thesis/project/dissertation.
4. For certain programs where intensive graduate level supervision is required, higher teaching load for supervision may be assigned with prior approval from the Vice Chancellor for Academic Affairs (VCAA).
5. The supervisors (principal and co-supervisors) contribution percentages, wherever applicable, must be defined and agreed by the supervisory team and shall be approved by the college Dean in consultation with the graduate program coordinator at the start of supervision by the main or principal supervisor. The main supervisor always have the highest number allocation as they are administratively responsible for the student.
6. For the cases of outload supervisory arrangements, any paid-incentive for the supervision-load to the faculty will be determined based on related university regulations.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	26/10/2021	New policy	Dean of Research and Graduate Studies

5. Faculty and Professional Staff



جامعة عجمان
AJMAN UNIVERSITY

Faculty and Professional Staff Role Policy

Policy Owner(s)	Vice Chancellor for Academic Affairs	Responsible Office	Office of Human Resources
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 2024

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, and assess student learning at multiple levels. 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.
- Assess student learning at multiple levels
- 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:

- 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.
- 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.
- 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
V2.0	17/05/2021	Reviewed and no changes required	Office of the Vice-Chancellor for Academic Affairs

Employment Policy

Policy Owner(s)	Vice-Chancellor for Academic Affairs	Responsible Office	Office of Human Resources Senior Officer, Office of VCAA
Approved By	Chancellor	Effective Date	April 2023
		Next Review Date	April 2026

Purpose

This policy sets forth to ensure that the University hires only qualified and competent faculty members with the required qualifications and experience. It defines faculty members' academic ranks and ensures that part-time (Adjunct) faculty members have the same qualifications as full-time faculty members. Furthermore, it specifies the terms of the contract, including its renewal and termination, and 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 the contract are defined, and appropriate procedures are followed for their periodic evaluation and professional development. A proportion of part-time (Adjunct) 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
- Proficiency in English language is required for faculty joining any program regardless of the language of teaching in that program. 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 and academic support staff in the following academic ranks, as explained in detail in the Faculty Handbook:
 - Professor
 - Associate Professor
 - Assistant Professor



- Principal Lecturer
 - Senior Lecturer
 - Lecturer
 - Academic Support Staff:
 - Assistant Instructor/Assistant Clinical Instructor
 - Instructor/ Clinical Instructor
 - Senior Instructor/ Senior Clinical Instructor
-
- Part-time (Adjunct Faculty) may be employed in accordance with the ratio of part-time/Adjunct 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 to 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 engaged in the outside professional activity shall pay 30% of the total compensation received for such activity to the University finance department to sponsor social activities of the department or college.
 - The faculty member shall abide by the University's confidentiality regulations 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, Furniture Allowance, Housing Allowance, Children Education Allowance, and Annual Tickets for travel by air. The University also provides health insurance for all faculty members, spouses, and three dependents. In addition, the faculty member is entitled to End of Service Gratuity (one-month basic salary for every year of service at the University, on the condition that the EOS gratuity shall not exceed the aggregate of two years' basic salary).
 - 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 a thorough appraisal of each faculty member at the selection stage for the renewal of the contract and promotion in the academic rank.

The detailed procedure and criteria used for the 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's policies, philosophy, work ethics, and 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, the 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 department/college/university's long-term plan.
3. The new faculty slots' approval would be based on budget availability, the real need for the requested position, and how it fits within AU's strategic plan.
4. The College administrator initiates the requisition in the system, which will be approved by authorized personnel at the University.
5. The Representative from the Office of the Vice-Chancellor for Academic Affairs would prepare an advertisement for the available opening.
6. The Representative from the Office of Vice-Chancellor for Academic Affairs handles the new slot advertisement on the University website and renowned international outlets for the specific specialization, which the Dean shall determine in consultation with the department's head.
7. The advertisement should be kept for at least one month before starting the screening process.
8. Applicants should submit the following documents online:
 - a. Cover letter with a detailed CV.
 - b. Information form.
 - c. Any other relevant supporting documents.
9. The Representative from the Office of the Vice-Chancellor for Academic Affairs shall send all applications to the Dean.

10. 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.
 - Four faculty members, with one of the faculty members from outside the department.
11. Short-listed candidates would be interviewed by the "Search Committee."
12. The Search Committee shall ensure that faculty hiring process abides by AU's Nepotism Policy that addresses Nepotism and inappropriate employee relationship.
13. Candidates living abroad can be interviewed remotely.
14. 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 special attention for publications in high-impact factor journals.
 - Citation Record.
 - Amount of external funds secured by the candidate.
 - Research presentations, especially presentations delivered by the candidates at prestigious conferences.
 - 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.
 - c. Services:
 - Service to the University, including administrative duties, participating in committees, etc.
 - Professional service, including organizing conferences, serving on committees of international conferences, conducting a review for international journals, etc.
15. If short-listed candidates do not fulfill the above criteria, the advertisement would be re-announced until suitable candidates are available.
16. The "Search Committee" shall submit to the Dean the following documents:
 - a. CV of the short-listed candidate.
 - b. Information form.

c. Committee report including the following items:

- 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. It is Ajman University's policy 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 an offer letter for the selected faculty. The contract shall be signed by the Vice-Chancellor for Academic Affairs and the Chancellor.

Employment Records Maintenance

Ajman University maintains electronic personnel information for each faculty member to ensure a complete, accurate, and current record of documents related to each faculty member's job and employment status. These records are maintained by the Office of Human Resources and their designee at the VCAA office. Faculty academic career records are maintained and stored in officially approved electronic systems (SAP) and University-HR drive and include both pre-employment and after employment documents such as;

- Application, official documents, and resume.
- Certifications and verification.
- Job Description.
- Interview notes and recommendations.
- Job offer and employment contract.
- Commencement and Pay/Compensation Form.
- Performance Evaluation and Goal Setting Records.
- Other documents related to termination etc.

In line with AU's Information Technology Policy, regular backup is conducted on the HRNET system and on the electronic personnel files through the archiving system.

AU employees have access to their personnel information and through HRNET system, including the right to review the file and correct erroneous information. For items that cannot be edited, the employee can contact the Office of Human Resources for their appropriate action.

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
V 2.1	20/02/2020	Inclusion of section related to consultancy or outside employment	Human Resources Manager
V 2.2	22/10/2020	Minor change- added new faculty ranks and academic support staff categories	Council for Academic Affairs



V2.3	04/04/2021	Minor changes – Updated the procedures and added the Employment Records Maintenance section	Vice-Chancellor for Academic Affairs
V2.3	17/08/2021	Minor change –The English Language proficiency requirement has been rephrased.	Vice-Chancellor for Academic Affairs
V2.4	29/06/2022	Minor changes – Added the last two paragraphs.	Human Resources Manager
V2.5	04/04/2023	Minor changes – Updated as per the Nepotism Policy	Human Resources Manager

Faculty and Professional Staff Employment Legal Issues Policy

Policy Owner(s)	Chief Operating Officer	Responsible Office	Office of Human Resources
Approved By	Chancellor	Effective Date	March 2023
		Next Review Date	March 2026

Purpose

This policy aims to guide the AU community regarding the handling of legal issues relating to the employment of faculty and professional staff.

Statement

Each faculty and professional staff member at Ajman University (AU) has the right to be treated with respect, courtesy and consideration by AU and other faculty and professional staff members.

It is the responsibility of each faculty and professional staff member of AU to comply with all applicable laws and regulations, the terms of their employment contract with AU and AU's policies, procedures and processes (as modified from time to time). AU has the right to ensure that all faculty and professional staff members comply with the foregoing and to take such actions as deemed necessary in order to protect its legal rights and those of other faculty and professional staff members employed by AU.

Accordingly, AU established a comprehensive framework for the handling of legal issues relating to the employment of faculty and professional staff by ensuring that:

- Grievances are dealt with in a fair and timely manner; and
- Issues of misconduct are managed and dealt with in a fair and consistent manner.

This comprehensive framework shall be administered in accordance with other related AU policies, procedures, the terms of employment and applicable laws and regulations with confidentiality.

The records of implementation of this policy must be kept in the Office of Human Resources employee file.

Procedures

- In case of legal issues relating to the employment of faculty and professional staff, the concerned person can address his/her concern or inquiry to the HR Director.
- The HR Director shall reply to him/her in accordance with the UAE laws and AU policies. For this purpose, the HR Director may take a legal advice from the Legal Advisor to the Chancellor.

3. A faculty member can file a written appeal to the VCAA requesting a review of a decision made by the HR Director. The VCAA shall coordinate with the COO. In case of discrepancy between their opinions, the issue shall be raised to the Chancellor whose decision is final and binding.

4. A staff member can file a written appeal to the COO requesting a review of a decision made by the HR Director.

Miscellaneous

1. This Policy supersedes any other old related policies, procedures, minutes of meeting, manuals, handbooks, and bylaws.

2. The Office of Human Resources is responsible for handling any issues that might arise and are not covered in this Policy, and raise recommendations for the Chief Operating Officer's final discretion.

3. In case of conflict between the Arabic and English versions of the Policy, the English one prevails.

4. In case of conflict between the contract and the Policy, the employment contract prevails.

5. Any exceptions to this policy must be well justified and raised to the Chancellor for a final decision.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	17/03/2021	Initial policy	Office of Human Resources
V 1.1	17/03/2023	The relevant procedures and miscellaneous section have been added.	Office of Human Resources

Faculty Development Policy

Policy Owner(s)	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 2024

Purpose

Ajman University faculty development policy aims to enhance and support excellence in academic practices and offers many opportunities for faculty to improve, collectively and individually, instructional effectiveness. AU provides ongoing support by encouraging participation in academic conferences, technology training sessions, professional meetings, and collaborative research activities with scholars inside and outside the UAE.

Introduction

Ajman University (AU) is fully aware that faculty development is tantamount to institutional development. For that reason, AU has always endeavored to provide the best training opportunities and resources to faculty and supporting staff. This policy is aligned with AU's vision and objectives, mainly:

- To achieve academic excellence.
- To encourage faculty to meet the three main criteria of: teaching, research, and service.
- To endow faculty with the 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 where faculty members are trained and motivated to perform at the highest possible levels. The faculty development policy of AU strives to ensure that each faculty member:

- understands his/her duties and responsibilities.
- is adequately trained to fulfill his/her duties and responsibilities according to the standards set by the University.
- is given the opportunity to reach his/her potential personally and professionally.
- gets the necessary assistance and information to develop his/her performance and effectiveness.
- is provided appropriate faculty development and training programs.
- is provided with constant update on advancements and innovations in pedagogical and instructional design.
- has functional access to, and proper training to utilize, modern technology.

Faculty Development Objectives

Faculty development policy 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.
- To ensure that most advanced technologies and pedagogical techniques are made available and are fully exploited.

Faculty Development Program

To achieve the above objectives, AU offers, through its faculty development program, a wide range of activities and opportunities to all faculty members. This includes seminars, tailored workshops and courses, training in particular issues, and necessary financial help.

The faculty development program also applies to the part-time faculty for improving their teaching skills and knowledge of pedagogy. The part-time faculty are invited and encouraged to participate in professional development activities at department, college and campus levels.

Research Seminars and Trainings

Research 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 and external speakers from each of the nine colleges and research centers at the University, these seminars deal with specialized subject matters. They represent 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.

The Deanship of Research and Graduate Studies (DRG) arrange research related trainings based on need and request from academic colleges. The University also provide opportunities for self-paced online research related trainings for the faculty members (e.g. Elsevier Researcher Academy).

Workshops, Courses and Training

In close collaboration with colleges, departments, and offices, the Teaching and Learning Center (TLC) develops and sustains faculty's skills and knowledge in the area of pedagogy and technology of education. The TLC designs and implements a wide spectrum of training programs that target faculty and teaching support staff. The programs are delivered by in-house and/or external professionals with proven record of excellence. Or programs cover:

1. curricular and pedagogical innovations, instructional design, and overall development of education.
2. technology-assisted education and online learning.
3. course management, student-instructor communication, and automated assessment techniques.
4. educational media, voice and presentation skills.
5. applied research in teaching and learning.

Regulations for Participation in Academic Conferences

- Ajman University 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 peer 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 and submit to the college Dean for endorsement.
- The Dean will submit the request to the Deanship of Research and Graduate Studies with his/her recommendations. 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/abstract and peer review reports (as applicable),
 - Report of the ad-hoc committee,
 - Recommendation of the Dean of the college.
- The Dean of Research and Graduate Studies shall add his/her recommendations (in the relevant section of Conference Participation Application Form) and forward complete application to the VCAA for a final decision.
- The final decision shall be communicated back to the applicant by the DRGS .
- The policy statements and related procedures for participation of faculty in research conferences (international or national) have been elaborated in the Ajman University Research Policy 12 (ARP-12) - *Research Conference Policy*.

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
V3.0	30/04/2021	Amended the Regulations for Participation in Academic Conferences	Vice Chancellor for Academic Affairs

Faculty Exchange and Sabbatical Leave Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of International Academic Affairs (OIAA)
Approved By	Chancellor	Effective Date	Feb 2022
		Next Review Date	Feb 2025

Purpose

This Policy aims to ensure a fair and consistent administration of the Faculty Exchange and Sabbatical Leave Programs, as well as to determine and outline the application process. The purpose of the Programs is to:

- Broaden and deepen AU's international reputation as being an active academic organization that seeks the continuous quality development of both its faculty members and students.
- Be of assistance to Ajman University (AU) faculty members in gaining experience in different academic environments, thus providing benefit to both the University and the faculty members through the Outbound Exchange Program and the Sabbatical leave program.
- Host a specific expertise into the University's departments for a semester or two, and that will inherently benefit these departments in terms of research, teaching, and supervision of graduates through the Inbound Exchange Program.

Statement

The Faculty Exchange and Sabbatical Leave programs are part of AU's ongoing drive to expand its network with international partners by supporting the development of collaborative research.

Outbound Exchange and Sabbatical Leave programs

A. Eligibility

Full-time faculty member holding a terminal degree

A minimum of two-year service for the faculty exchange program

A minimum of five-year service for the sabbatical program

A minimum of five-year service after the first faculty exchange or sabbatical program

B. Terms and Conditions

- Faculty exchange or sabbatical leave will be supported and encouraged when such exchanges or sabbatical leaves are considered advantageous to both the faculty member and his/her department.
- Faculty members are granted faculty exchange and sabbatical leave normally for the prime purpose of engaging in research at one of the top 200 ranked institutions in the world as per the latest THE, QS, or Shanghai International University Rankings, and for developing their research skills. Research is the main aim of the Faculty Exchange and Sabbatical Leave Programs, although the faculty member may be indulged in teaching.

3. The exchange period varies from one to two semesters and is usually expected to be of the same length for both parties. Faculty exchanges normally involve a reciprocal visit to AU by a faculty member from the international University engaged in the exchange.
4. The sabbatical leave period can be for one or two semesters.
5. The faculty member on exchange or sabbatical leave will be considered in active service to AU. Still, performance assessments will be sought from the other institution when appropriate.
6. After the final approval of the exchange or sabbatical leave by the Chancellor, the Director of the Office of International Academic Affairs (OIAA) may initiate a faculty exchange or sabbatical leave agreement/s with the host institution at least six weeks before the expected commencement of activities of the faculty member at the host institution. The agreement shall indicate the duration of stay, application procedures, accommodation and facilities, financial responsibilities, government requirements, and commencement and duration of the contract, in addition to any other clauses that are important to both universities.
7. Following the completion of his/her exchange or sabbatical leave period, the faculty members must rejoin AU for at least one academic year, unless decided otherwise by AU. Failing to do so, s/he will be required to pay an amount of 100,000.00 AED to AU as damages and remedies. This amount can be deducted from his/her End of Service entitlements (End of service gratuity, etc.), or enforced by any legal means.
8. During the exchange or sabbatical leave period, the AU faculty member will continue to receive:
 - a) Full salary and full benefits from AU if the exchange or sabbatical leave is for one semester.
 - b) Half salary and full benefits from AU if the exchange or sabbatical leave is for two semesters.
 - c) One return economy class air ticket to the city/country of the host institution.
9. Additional remuneration: If the exchange or sabbatical leave faculty member receives an appointment and additional remuneration in the form of a grant, fellowship, or other sources, s/he must notify AU, and there may be a reduction for the salary rate paid for the exchange or sabbatical leave period. However, there must be no conflict between the purpose of the assignment and the activities resulting from other compensation. Furthermore:
 - a) Normal consulting arrangements may be continued as long as they have been approved through normal administrative channels and do not conflict with the spirit and purpose of the assignment.
 - b) Fringe benefits (non-cashable) provided by the host institution may be accepted without reducing the University salary.
10. A faculty member on exchange or on sabbatical leave will continue to hold the same medical insurance provided by the University with the same terms and conditions before going on his/her exchange or sabbatical leave. However, it is the full responsibility of the faculty member on exchange or on sabbatical leave to purchase any supplementary insurance (medical and otherwise) required in the country of his exchange or sabbatical leave visit.
11. All financial costs will be handled by the faculty member, including but not limited to the cost of accommodation, transportation (except the airline ticket), food and subsistence costs.
12. A faculty member on exchange or on sabbatical leave will be subject to the rules and regulations of the two Universities.
13. To the extent possible, the University shall announce early in each academic year the allocated Exchange or sabbatical leave budget for the subsequent academic year.
14. The period of any leave without pay shall not be counted as years of credited services for purposes of sabbatical leave or Outbound Exchange applications.

C. Application Procedures

1. The Office of International Academic Affairs (OIAA) will announce, by the beginning of each Fall Semester, the deadlines for accepting applications for the faculty exchange and sabbatical leave programs for both Fall and Spring semesters in the next academic year.
2. At the time of application, applicants are expected to have established a connection with the host department and identified with them the area(s) of mutual interest they wish to further explore during the exchange or sabbatical leave period. The proposed activities planned during the exchange or sabbatical leave period should be set in accordance with the applicant's research area and the research direction(s) of his/her department. A detailed plan of the applicant's visit must be developed by the applicant and the host department to include all information about the activities to be conducted during the exchange or sabbatical leave period.
3. The following documents should be submitted through the OIAA webpage by the set deadline:
 - a. Application form (available on the OIAA webpage).
 - b. Updated Curriculum Vitae with publication records.
 - c. Endorsement form (available on the OIAA webpage).
 - d. Approval letter from the Research Ethics Committee REC (If applicable).
 - e. Post-visit reports of previous exchanges or sabbatical leaves (If applicable).
 - f. Invitation letter provided by the host institution clarifying the following:
 - Name, address, and position of the host.
 - The host involvement in the applicant's visit.
 - The type of activity the faculty member will be indulged in during his/her stay at the host institution.
 - The position/title that the faculty member will hold at the host institution.
 - The intended duration and dates of the exchange or sabbatical leave period.
 - The logistics support the host institution will provide to the applicant.
 - Arrangements for remuneration, if any.
 - g. Faculty members, upon applying for sabbatical leave or Exchange, must acknowledge in writing their obligation to return to the University following the leave period and to serve the University for a period not less than one academic year.
4. The OIAA will review the applications and submit them to the Selection Committees.
Incomplete applications will not be considered.

D. Evaluation Criteria

For Faculty Exchange and Sabbatical Leave program applications, the evaluation criteria may consider, among other factors, the following:

1. Does the proposal establish a clear work plan, objectives, and expected outcomes?
2. Does the proposal detail how each of the objectives will be attained?
3. How likely is the proposed project to be completed or almost completed as scheduled?



4. Does the applicant have the background and specific skills that will allow him/her to successfully complete the project or else is he/she planning to acquire these before the exchange or sabbatical leave?
5. Does the proposal clearly communicate the purpose of the project to non-specialists?
6. To what extent is the exchange or sabbatical leave important to the project completion?
7. Does the proposal define the benefits of the exchange or sabbatical leave for both the individual faculty member and the University?
8. Does the applicant provide a track record of the applicant and host in relation to the proposed research work?
9. What is the likelihood of the establishment or significant strengthening of a genuine and ongoing international linkage as an outcome of this exchange or sabbatical leave program?

E. Selection Procedures

1. The VCAA will form a Selection Committee for the Faculty Exchange program by the beginning of each Fall semester. This committee will be in charge of the Faculty Exchange program selection procedures for the next academic year.
2. The VCAA will form a Selection Committee for the Sabbatical leave program by the beginning of each Fall semester. This committee will be in charge of the Sabbatical Leave program selection procedures for the next academic year.
3. The Selection Committees makes their recommendations to the VCAA who shall raise his recommendation to the Chancellor for a final decision.
4. The OIAA will notify applicants of the results by the set deadline.

F. Selection Guidelines

1. The faculty exchange or sabbatical leave will be granted to no more than one faculty member per college at the same time.
2. Faculty Exchange or sabbatical leave will be granted according to the following principles:
 - a. Balance of faculty Exchange and sabbatical leave awarded across Departments within the same College over time.
 - b. Faculty members who have not previously been awarded a Faculty Exchange or Sabbatical leave will be given priority.
 - c. If two faculty members are equally qualified, the individual with the longest service record since the date of initial appointment as a faculty member at AU will be given priority.
3. Applications that incorporate early-stage collaborative research projects with the collaborator at the host institution will be given priority.
4. Applications for the same or related purpose research topic to the same host university will be considered on a case-by-case basis and with justification.

G. Post-Visit Report

Within one month of return from the Exchange or Sabbatical Leave, Faculty members are required to submit a post-visit report.

1. The "Post-Visit Report Form "is available on the OIAA webpage.
2. The report must be submitted to the Dean of the College for his/her feedback. The Dean of the College shall forward the report to the VCAA, Dean of Research and Graduate Studies and Director of International Academic Affairs for further processing.
3. The faculty member should organize an oral presentation to present the outcomes of his/her exchange or sabbatical leave period to AU academic community.

Inbound Exchange programs

A. Scope of the program

This program is applicable to all academic colleges at Ajman University (AU). The term Inbound exchange scholar, as used in this document, refers to any scholar who visits AU for the purposes of conducting research and teaching for a duration of one semester or one academic year.

B. Introduction

Inbound exchange 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 the research and teaching culture at AU. As a new initiative, the University has adopted a policy to support the visit of an inbound exchange scholar to AU.

An Inbound exchange 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, providing support in setting up research infrastructure at AU, engage in meetings with research centres, engage in teaching activities as an adjunct or visiting faculty 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 , scholarship and teaching.

There are two categories of Inbound Exchange Scholars defined as follows:

1. Category-1: Inbound Exchange scholars visiting AU campus mainly for the purpose of conducting research. They may teach up to two courses (normally 6 credits hours) at AU.
2. Category-2: Inbound Exchange scholars visiting AU campus mainly with duties similar to a full-time visiting faculty member. They teach the normal load of a full-time faculty member (normally 12 credit hours) at AU.

C. Eligibility Criteria for an inbound exchange scholar

The eligibility criteria for the Inbound exchange scholar are as follows:

1. The Inbound exchange scholar must provide recognizable benefits to the academic and research community of the host college or research centre, and in general to Ajman University.
2. The Inbound exchange scholar must be recognized as an international expert in his/her area of teaching or in his/ her specialized area of research (e.g., research publications, global ranking of his/her institute, citations of his/her research articles etc.) or already established research collaborations with an AU research centre.



3. The Inbound exchange scholar must hold an active appointment with one of the top 200 ranked institutions in the world as per the latest THE, QS, or Shanghai International University Rankings.
4. The Inbound exchange scholar is usually on sabbatical leave from one of the top 200 ranked institutions in the world as per the latest THE, QS, or Shanghai International University Rankings. However, scholars who are not on sabbatical leave interested in joining AU through this program are welcome to apply to the program.

D. Policy Statements

- AU will advertise such positions and attract outstanding scholars to join Ajman University for a semester or two.
- For the Inbound exchange scholar, the medical health insurance shall be 100% covered by the University. The University will also cover 50% of the scholar spouses' medical health insurance. However, it is the full responsibility of the Inbound exchange scholar to purchase any additional insurance required during his/her visit.
- AU Public Relations Office may provide assistance to the inbound exchange scholar in applying for the UAE entry visa and entry clearance.
- The Inbound exchange 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 inbound exchange scholar in returning to his/her place of residence.
- The visit of the scholar must be during the Fall and Spring semesters only.
- For Category-1, the financial support provided by AU includes:
 - An economy class return airfares to the inbound exchange scholar and his spouse between his/her country of residence and AU. The tickets may be booked, preferably, by the AU Public Relations Office.
 - Accommodation allowance as per AU policies and procedures.
 - Per semester Honorarium up to AED 10,000.
 - Per semester teaching allowance (if applicable)
 - AED 27,000: For teaching 2 courses
 - AED 13,500: For teaching 1 course
- For Category-2, the financial support provided by AU includes:
 - An economy class return airfares to the inbound exchange scholar and his spouse between his/her country of residence and AU. The tickets may be booked, preferably, by the AU Public Relations Office.
 - Accommodation allowance as per AU policies and procedures.
 - Monthly salary as per AU policies and procedures for full-time visiting faculty members.

- For both categories, the Inbound exchange scholar UAE Visa and residency fees will be 100% covered by AU.
- The visit of the scholar must be completed during the same academic year or next semester in which it is approved.
- The host college or research centre shall provide the basic resources to the Inbound exchange scholar as deemed appropriate by the respective college dean or head of the research centre.
- The Inbound exchange scholar is subject to the same requirements of professional competence and experience as their full-time counterparts. Furthermore, their employment is for research and teaching specific courses and for a given semester or two and is not a continuing appointment.
- The VCAA shall decide on all cases not provided for in this document.

E. Procedures

- The Office of International Academic Affairs advertises such positions, with the support of other AU offices, at the beginning of the Fall and Spring semesters.
- Applicants submit their expression of interest, along with a supporting statement and updated CV to the Office of International Academic Affairs by the deadline.
- The OIAA shares the received application documents with the concerned colleges' deans for evaluation.
- The search committees of the concerned college, in the presence of the OIAA director, reviews all applications and submits its evaluations/recommendations to the Dean who shall raise his/her recommendations to the VCAA. The VCAA shall make his recommendations to the Chancellor for a final decision.
- The search committees assess the eligibility and suitability of such an exchange by considering factors that may include but are not limited to the following:
 - Analysis of the expertise to be shared at campus, [number of intended learners, expertise required in enhancement of research capabilities, experiments, teaching experience, etc.]
 - Non-availability of such expertise at campus
 - Expected benefits and outcomes of the visit
 - Availability of courses that can be taught by the inbound exchange scholar.
- The final decision of successful applicants shall be communicated to the College Dean, Budget Office, HR Office, Public Relations Office and Office of Finance by the director of the Office of International Academic Affairs.
- The director of the Office of International Academic Affairs also communicates with the Inbound exchange scholar and invite him/her to join AU as an inbound exchange scholar. The exchange semester and teaching requirements (if applicable) shall be agreed upon directly between the host college and the candidate.



- The scholar shall submit a post-visit report (within one month of visit) to the VCAA and Dean of Research and Graduate Studies, including but not limited to the following:
 - a. A brief summary and reflections of all the activities during the visit
 - b. Gains and experience/outcomes of the visit
 - c. Comments and Suggestions

Miscellaneous

1. This Policy supersedes any other old related policies, procedures, minutes of meeting, manuals, handbooks, and bylaws. The VCAA is responsible for handling any issues that might arise and are not covered in this Policy, and raises recommendations for the Chancellor's final discretion.
2. In case of conflict between the Arabic and English versions of the Policy, the English one supersedes.
3. Any exceptions to this Policy must be well justified and escalated to the VCAA who shall raise recommendations to the Chancellor for a final decision.
4. Ajman University reserves the right to make changes to this Policy at any time and for any reason. The updated Policy will be deemed to have been delivered, received, and known by AU faculty members one day after posting the updated Policy on the website, or sending the updated version by email.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	10/05/2021	Initial Policy	Office of International Academic Affairs
V 2.0	31/10/2021	Adding Inbound faculty Exchange Program	Office of International Academic Affairs
V 3.0	02/02/2022	Adding category 2 to the policy to the inbound program	Office of International Academic Affairs

Course Buyout Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of Vice Chancellor for Academic Affairs
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Statement

A full-time faculty teaches a full load of courses, typically 24 credit hours or equivalent per academic year for terminal degree holders and 30 credit hours for non-terminal degree holders.

Ajman University supports its faculty for securing external research grants, consultancies and scholarly activities funded from external sources, and other teaching-related activities (including trainings) during the academic year. A faculty member may request a course buyout to fulfill such opportunities. A portion of the faculty member's academic year compensation would be covered by external funds, once granted, and approved by the sponsoring organization/individual through a course buyout. The course buyout enables the faculty member to devote the needed time to research, writing, and other activities under the grant's sponsorships.

Policy

Course buyout is applicable for any full-time faculty member with at least one year of service at AU who identified an opportunity for which a course buyout is necessary. A course buyout requires a final approval from the Vice Chancellor for Academic Affairs (VCAA) based on recommendation(s) of the Dean of the respective college and the college/University needs.

A course buyout should not impact the research activities of faculty and does not release the faculty member from performing their service obligations towards Ajman University.

A faculty member receiving course buyout(s) is normally expected to maintain a minimum of 3-credits of teaching load per semester.

Procedure

For faculty requesting a course buyout:

1. A proposal from the granting organization should be approved prior to submission of the application of course buyout.
2. A course buyout application for a given semester must be submitted at least three months before the beginning of that semester to the Head of Department (HOD).
3. The application should include the size and scope of work to be conducted, the external funding organization to which the proposal is submitted, the anticipated semester, and the rationale as to why a course buyout is necessary to complete that scope of work.



4. The Dean of the college will make a recommendation to the VCAA for his final decision.
5. Course buyout is calculated as a percentage of a faculty member's total salary and is based on teaching load per academic year as follows:
 - For terminal degree holders, the amount of the buyout per credit is AED (Total annual salary / 24).
 - For non-terminal degree holders, the amount of the buyout per credit is AED (Total annual salary/ 30).

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	31/08/2021	New Policy	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	Sept. 2021
		Next Review Date	Sept. 2024

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.

Purpose of Faculty Performance Review

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 continually provides constructive feedback to its faculty through various channels. More precisely, the purpose of faculty performance review is to:

- Provide all full-time faculty with timely information regarding the extent to which they are meeting the college and university expectations of academic performance.
- Identify aspects of a faculty member's performance that may need further development.
- Provide a framework to guide performance-related discussions between the faculty member, the Head of Department and the Dean.
- Help faculty members to plan appropriate and relevant faculty development programs.
- Help in planning performance-related reward and recognition programs for deserving faculty members.
- Help determine faculty member eligibility for contract renewal.

Scope

The faculty performance evaluation is only applicable to full-time faculty, and for the evaluation of the Lecturers, Research is not required.

Faculty Appraisal Form - (View Appendix 1)

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

- Students' course evaluation feedback.
- Students' evaluation of advising.
- Faculty Self-Assessment Excel (FSAE).
- 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.

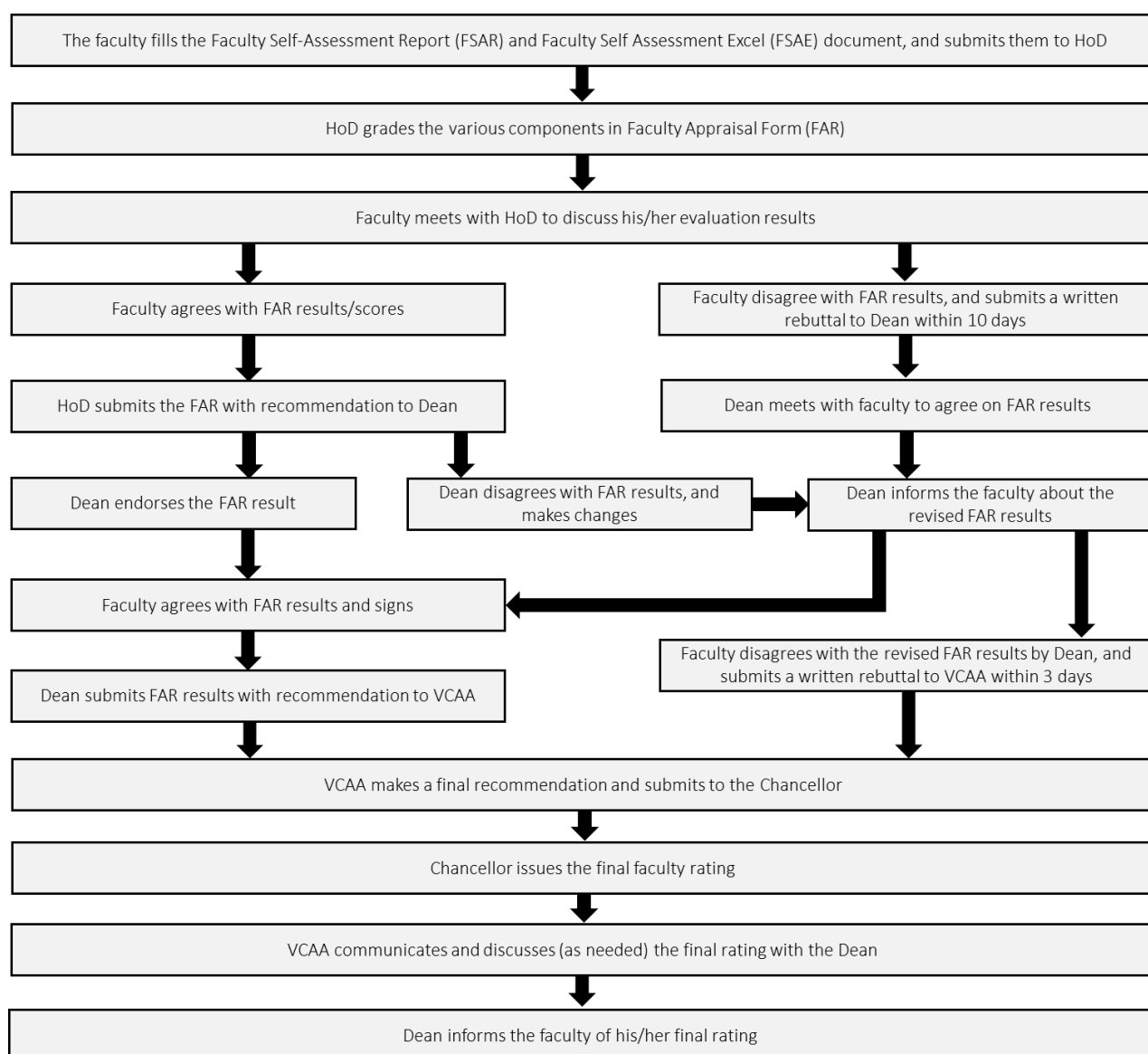
Faculty Self-Assessment Report (FSAR) - (View Appendix 2)

Faculty members are required to complete the Faculty Self-Assessment Report (FSAR) and Faculty Self-Assessment Excel (FSAE) document by the 10th week of the spring semester. The FSAR 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.

Evaluation Period: The evaluation period shall be from March 1st of the prior academic year to March 1st of the current academic year.

Faculty Evaluation Process Outline



Guidelines

The evaluation criteria defined in this document is for faculty members holding terminal degrees including Lecturers. The evaluation is based on performance in three categories; teaching, research, and services. Teaching weight should be between 30% and 50% while research weight (except for lecturers should be at least 30% of the final evaluation rating in line with AU policy. The minimum percentage for service should be 20%. Research active lecturers may elect to have a weight not more than 30% of their evaluation for their research. This percentage may vary in order to accommodate specific University, College, and Departmental needs. The weighting shall be determined during the goal-setting meeting at the beginning of the evaluation period between the faculty member and the HoD. A typical distribution of the weights for faculty at Assistant Professor and above rank is 50%, 30% and 20%, for Teaching, Research, and Services, respectively. A typical distribution for lecturers, is 60% for teaching and 40% for service.

Table 3: Weights for each component of the faculty evaluation

Category	Weight
Teaching ($\bar{t}$)	30% - 50% (50% - 70% for Lecturer)
Research ($\bar{r}$)	30% - 50% (0 - 30% for Lecturers)
Service ($\bar{s}$)	20% - 40%

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(s), Instructor Course Assessment Report (ICAR), student evaluations, advising evaluations shall be the basis of evaluation for teaching. Any other evidence used must be made known to the faculty member.

The overall performance of faculty members will be rated as **Outstanding (4.5-5.0 points)**, **Excellent (4.0-4.49 points)**, **Very Good (3.5-3.99 points)**, **Good (3.0-3.49 points)**, **Satisfactory (2.5-2.99 points)**, **Needs improvement (2.0-2.49 points)** and **Unsatisfactory (0.0-1.99 points)** based on the *Evaluation Criteria* defined in the tables below.

The overall score, S (out of 5), of the faculty performance is calculated as the weighted average of the ratings of the three components, as follows:

$$S = \bar{t} \times TS + \bar{r} \times RS + \bar{s} \times SS$$

where TS is teaching score, RS is research score and SS is service score and $\bar{t}$ is teaching category weight, $\bar{r}$ is research category weight and $\bar{s}$ is the service category weight.

If any of the components (i.e. TS, RS or SS) is scored **0.0 -1.99** then the above formula does not apply and overall score, S is set to 0.

The overall rating is determined as follows:

Overall Rating	Criteria
Unsatisfactory	$0.0 \leq S \leq 1.99$ OR $TS < 2.0$ or $RS < 2.0$ or $SS < 1.5$
Needs Improvement	$2.0 \leq S \leq 2.49$

Satisfactory	$2.5 \leq S \leq 2.99$ AND $SS \geq 2.0$ If the <i>service rating</i> is below 2.0, then the overall rating is Needs Improvement.
Good	$3.0 \leq S \leq 3.49$ AND $RS \geq 3.0$ (Good) If the Research rating condition is not satisfied and/or <i>service rating</i> is below 2.5, then the overall rating is Satisfactory.
Very Good	$3.5 \leq S \leq 3.99$ AND $RS \geq 3.5$ (Very Good) with at least one accepted/published paper or case study in an AU-A journal, as classified in AU Guidelines for Research Publications, during the academic year If the Research rating condition is not satisfied and/or <i>service rating</i> is below 2.5, then the overall rating is Good.
Excellent	$4.0 \leq S \leq 4.49$ AND $RS \geq 4.0$ (Excellent) with at least one accepted/published paper or case study in an AU-A* journal OR two accepted/published papers or case studies in an AU-A journal, as classified in AU Guidelines for Research Publications, during the academic year If the Research rating condition is not satisfied and/or <i>service rating</i> is below 3.0, then the overall rating is Very Good.
Outstanding	$S \geq 4.5$ AND $RS \geq 4.5$ (Outstanding) with at least two accepted/published papers or case studies in an AU-A* journals OR three accepted/published papers or case studies in an AU-A*/AU-A journal, as classified in AU Guidelines for Research Publications, during the academic year If the Research rating condition is not satisfied and/or <i>service rating</i> is below 3.5, then the overall rating is Excellent.

Illustrative Example

As an illustration, if the weights and ratings of a faculty member are as follows:

Component	Teaching	Research	Services
Weight	50% ($\bar{t}$)	30% ($\bar{r}$)	20% ($\bar{s}$)
Rating	4.2 – TS	4.4 – RS	3.4 – SS

Then, the overall score of the faculty member is as follows:

$$S = \bar{t} \times TS + \bar{r} \times RS + \bar{s} \times SS$$

$$S = 0.5 \times 4.2 + 0.3 \times 4.4 + 0.2 \times 3.4$$

$$S = 4.1$$

Overall Rating = **Excellent** (assuming the additional criteria on publications is satisfied); otherwise, the overall rating will be **Very Good**.

EVALUATION CRITERIA FOR 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.)

All faculty members are generally expected to,

- Meet the class at scheduled times unless there are extenuating circumstances
- Be available in his/her office during posted office hours unless there is an unavoidable conflict
- Prepare examination questions and other coursework that appropriately cover CLOs
- Provide timely feedback for examinations and other coursework
- Effectively coordinate with other colleagues involved in team teaching a course or multiple sections of a course
- Effectively manage clinical teaching duties and control clinical activities
- Prepare and submit instructor course assessment report(s) and course file(s) of the course(s) taught in a timely manner
- Effectively coordinate with adjunct faculty, at HoD request, to ensure that the latter meets teaching requirements.

An unsatisfactory performance may include, but not limited to, the following indicators

- Faculty member does not provide feedback for examinations and other coursework in a timely manner
- Faculty member is not regularly available to students at posted office hours
- Faculty member does not provide instructor course assessment report(s) and course file(s) in a timely manner

In an effort to make sure that the teaching evaluation is objective, a marking scheme has been developed based on the following criteria:



- 1- Students evaluations of the instructor teaching effectiveness based on the Student Course Assessment Survey (SCAS). This is the average of all courses taught by the instructor as shown in the image below.



Student Course Assessment Survey (SCAS) Report for All Courses taught by the instructor :

	Mean
I had an adequate background for this subject.	4.64
Coursework assignments and projects were helpful to understand the subject.	4.82
I found the course useful.	4.45
Textbook and references assigned to this course were appropriate and useful.	4.64
The instructor presented the material well and clearly.	4.73
The instructor was well-prepared for the lectures.	4.82
The instructor started and ended the lectures on time and was regular.	4.82
The instructor was available and helpful during posted office hours.	4.55
The instructor was fair in the evaluation of students' course work.	4.91
The lectures were given in only one language (English or Arabic).	4.55
The instructor identified the course learning outcomes clearly.	4.73
The instructor encouraged interaction with students, listened to them, and responded to their questions.	4.82
The instructor evaluated the students' work in a timely manner.	4.73
Overall, the instructor's performance in this course was excellent.	4.55
The lab/studio/clinic instructor presented the practical material well and clearly.	NRP
The instructor was well-prepared for the lab/studio/clinic sessions.	NRP
The instructor started and ended the lab/studio/clinic on time and was regular.	NRP
The instructor was fair in the evaluation of students' work in lab/studio/clinic.	NRP
The instructor took interest in developing students' practical skills and answered their questions.	NRP
The instructor evaluated the students' work in a timely manner.	NRP
The equipment/components/material available in the lab/studio/clinic were sufficient and in good working condition.	NRP
Overall, the instructor's performance in the lab/studio/clinic was excellent.	NRP
Overall of all questions	4.69

- 2- Students assessment of the instructor advising based on the Academic Advising Survey (AAS), using the rating of the last question

Overall, my advisor is very helpful in providing guidance about academic and non-academic matters	Invited	Responded	Response rate	Weghted Average/5

- 3- The HOD/Dean assessment of the quality of the instructor's course files as per rubrics/instructions provided by the Office of Institutional Planning and Effectiveness (OIPE). The HOD is to give an advantage to courses offered for the first time.
- 4- The HOD/Dean assessment of the quality of the ICAR.
- 5- Participation in teaching and learning self-improvement courses arranged or administered by the Teaching and Learning Center (TLC). The Continuous Professional Development (CPD)-Score is part of faculty annual evaluation. The evaluation is directly derived from CPD-Score as follows:
- Each faculty member is expected to earn 40 CPD-Score each year.
 - A 40 CPD-Score translates into a full mark of 5.0 on the corresponding item of annual evaluation.
 - A CPD-Score less than 40 will be prorated (i.e., it will earn a fraction of the full mark)
 - A CPD-Score of 10 or less, will earn no credit towards the said item.

- CPD score is based on the training received during the Fall and Spring semesters of the current academic year and Summer of the previous academic year (if any).
 - The TLC will share the CPD-Score of all faculty with the VCAA
 - Administrative staff members at the level of Dean or higher are exempted from the CPD-Score requirement.
- 6- Development of innovative methods in teaching assessed by the HoD based on evidence submitted by the faculty member with a maximum score of 1. A score of 1 is granted if a strong evidence is provided for using teaching methods that positively influence learning and create a positive learning environment; a score of 0.5 is given if a little evidence of using innovative teaching methodologies; and score of zero if no evidence of using innovative teaching methodologies.
- 7- A bonus point for incorporating employability and soft skills (e.g. Coursera) in course(s) delivered by the instructor, with zero point if no evidence of effective use of such teaching modules. Maximum is 1.

In light of the fact that each of the above criteria requires different amount of effort, a weight is assigned to each criterion. A weighted score is then assigned by multiplying the instructor score in each item by the weight. The weighted scores are all added and divided by the maximum possible weighted score. The score is then converted into a 5-point scale.

The following table summarizes the different items of teaching evaluation and their weights:

Item	Average for the two semesters	Weight	Weight*Score
Teaching evaluation SCAS, average for all courses taught by the instructor (exclude sections fewer than 10 students, for graduate classes exclude the ones with less than 3 students). (To be completed by faculty and validated by HoD/Dean)	0.00	1.50	0.00
Advising evaluation based on the academic advising survey AAS (If you do not have Advising responsibility, type 5.0). (To be completed by faculty and validated by HoD/Dean)	0.00	1.00	0.00
Quality of course files (new course file for courses offered for the first time to be given favorable consideration) (exclude ICAR from this evaluation). (To be completed by HoD/Dean)	0.00	1.00	0.00
Quality of ICAR. (To be completed by HoD/Dean)	0.00	1.00	0.00
Participation in Teaching & Learning Center (TLC) courses. Enter your Continuous Professional Development Score CPD. 40 is max, 10 is min, If less than 10 enter 0. (To be completed by faculty and validated by HoD/Dean based on data provided by TLC)	0.00	0.50	2.50
Teaching methodologies (1: if strong evidence teaching methods positively influence learning and create a positive learning environment; 0.5: little evidence of using innovative teaching methodologies; 0: if no evidence), Maximum is 1. (To be completed by faculty and validated by HoD/Dean)	0.00	0.50	0.00



A bonus point for incorporating employability and soft skills (e.g. Coursera) in course(s) delivered by the instructor, with zero point if no evidence of effective use of such teaching modules. Maximum is 1. (To be completed by faculty and validated by HoD/Dean based on data provided by VCAA office)	0.00	1.00	0.00

A MS Excel worksheet (Faculty Self-Assessment Excel (FSAE)) shall be used for the calculation of teaching score.

EVALUATION CRITERIA FOR 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). Research is, however, not part of evaluation criteria for Lecturers.

Criteria	Score
Accepted/published paper or case study in an AU-A* journal, as classified in AU Guidelines for Research Publications, during the evaluation period	12
Accepted/published paper or case study in an AU-A journal, as classified in AU Guidelines for Research Publications, during the evaluation period	10
Accepted/published paper or case study in an AU-B journal, as classified in AU Guidelines for Research Publications, during the evaluation period	8
Accepted/published paper or case study in an AU-C journal, as classified in AU Guidelines for Research Publications, during the evaluation period	6
Major refereed creative work (AU-A), as classified in AU Guidelines for Research Publications, during the evaluation period	10
Major refereed creative work (AU-B), as classified in AU Guidelines for Research Publications, during the evaluation period	8
Major refereed creative work (AU-C), as classified in AU Guidelines for Research Publications, during the evaluation period	6
Publication of a full paper in Scopus indexed conference proceedings during the evaluation period	6
Publication of a full paper in non-Scopus indexed conference (if arranged by a Professional or Scientific society and approved by the University) proceedings during the evaluation period (applicable in certain disciplines only)	3
Publication of an abstract in an international reputable conference (if arranged by a Professional or Scientific society and approved by the University) proceedings during the evaluation period (applicable in certain disciplines only)	1
Principal Investigator (PI) on an external research grant where grant budget is greater or equal to 50,000 AED	10
Co-investigator (Co-I) on an external research grant where grant budget is greater or equal to 50,000 AED	5
Submission of an external research grant proposal (not consultancy) as a Principal Investigator (PI), where grant budget is greater or equal to 50,000 AED	5

Approval of AU Funded Research Grants including Travel Grant (as a PI only) (Can be claimed for one project or travel grant only, maximum points in this category shall not exceed the mentioned points)	2
Publication of a Scopus-indexed (non-edited) book (To claim points in this category, either book should be available on scopus.com or a letter from the publisher confirming that book will be indexed by Scopus must be provided)	12
Publication of a Book Chapter / Scholarly Output (Scopus-indexed) (To claim points in this category, either book chapter is available on scopus.com or a letter from the publisher confirming that book will be indexed by Scopus must be provided.)	6
Editor of a Scopus-indexed scholarly book published during the evaluation period	4
Publication of a non-Scopus indexed scholarly book with a reputed publisher published during the evaluation period	3
Impact (as applicable and demonstrable) only as approved by VCAA: Excellence is demonstrated by providing documentary evidence of how the research or creative work-related activities lead to impact outside academia. Examples may include economical, societal, cultural or policy- or health-related impact and External Awards of recognition (Evidence must be provided with self-assessment)	8
<i>Patent granted</i> (International/Local) where AU is the first/main affiliation of inventor and satisfies other AU relevant policies and procedures	12
<i>Patent filed</i> (International/Local) where AU is the first/main affiliation of inventor and satisfies other AU relevant policies and procedures	6

A MS Excel worksheet (Faculty Self-Assessment Excel (FSAE)) shall be used for the calculation of research score.

Remarks:

- For collaborative research outputs, where number of listed authors on research work (Article/Conference/Book chapter) are more than 4, the weight is reduced to 50% unless the applicant is main or first author of the research work.
- Any suspicious case, as identified by HoD or college Dean, shall be forwarded to VCAA. The VCAA establish an ad-hoc committee to review and provide recommendations to VCAA for all such cases. The ad-hoc committee is authorised to request more details from the applicant (through VCAA office) to reach a basis for their recommendation. Such suspicious cases may include, but not limited to, cases of publishing out of specialization area, gift authorships etc.
- The faculty must use correct "Ajman University" affiliation as a primary/main/first affiliation, and it should be visible on the published research.
- The same research output cannot be submitted more than once and should be accepted or published during the evaluation period.
- A book chapter, which was presented in a conference, can be submitted only once either as a book chapter or conference paper. However, if an extended version of a conference paper is published as a book chapter, it can be submitted in annual appraisal. The faculty needs to clarify this and submit both conference and book chapter versions of the research work.



- “Scholarly books” exclude textbooks used for teaching purposes or practitioners’ books. The focus is on books that contribute to research. Practitioner books and textbooks should be included under “Service”.
- Creative works or exhibits are specific to the fields of Architecture, Art and Design only.
- Documentary evidence must be provided in all cases, e.g. copy of emails, link of website etc.
- The Arabic journal articles published or accepted in Scopus indexed journals may be rewarded extra points, as per instructions provided by the VCAA to the college Deans.

EVALUATION CRITERIA FOR SERVICE

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: This rating will be objectively evaluated at the end of the evaluation period. The evaluation process will be based on a report (MS Excel Sheet) submitted by the faculty to the head of department supported by documented evidence of his/her performance and accomplished.

The services can be divided into following three categories:

- University/College Level Service based on the level of participation and engagement in committees/tasks within the department, college, or university;
- Community Service such as executing partnership with local, national, or international organizations, workshop participations, advise to governmental organizations, etc.
- Professional Service outside the university such as organization of conferences, invited speakers, editorial board, etc.

The faculty member is expected to work as an effective team member fostering a collegial work environment.

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 national or international professional organization
- e. An effective team member fostering a collegial work environment

Faculty members are welcome to submit any other service category, not listed above, to the HoD with all necessary details and evidence of engagement. The HoD can review and add in the faculty appraisal with the right justifications.

EVALUATION CRITERIA FOR SERVICE

Type of Service	Points	Maximum Score
University/College Level Services		
Student placement or recruitment activity judged as significant by HoD/Dean.	2	2
Mentoring and advising exchange students (inbound/outbound).	2	2
Championing the initiation, establishment and activation of collaboration agreements with top 200 international institutions.	2	2
Having a major role in attracting distinguished (permanent and visiting) faculty and staff to AU or Faculty Exchanges or Sabbaticals taken abroad.	2	2
Having a major role in recruiting international students to join AU and inspiring AU alumni and students to join top international institutions as graduate students and exchange students respectively.	2	2
Significant contribution to national or international accreditation activities (chair of committee or active member of the committee).	3	6
Effectively heading a college unit or research center and submitting an annual report summarizing the activities and accomplishments of the unit.	3	3
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.	2	2
Effectively chairing/co-chairing an active university committee or task force.	2	2
Member in any committee or taskforce (university level only).	1	4
Engaging in a significant number of unreported service activities (e.g. extra classes without compensation, etc.).	1	1
Serving as a faculty liaison or actively involved in student support programs (peer tutoring/twinning programs) at the Student Success Center or as a teaching mentor for a college faculty member. Data to be provided by SSC.	2	2
Actively involved in fund raising campaigns.	1	1
Actively serving in the annual effectiveness report.	1	1
Other than those listed above, serving college/department committees, with regular attendance to meetings and contributing to the work and activities of the committee.	1	3
Total University Service	27	35
Community Services		
National or International community service judged as significant by HoD/Dean.	2	1
Active liaison with alumni affairs and/or advisory board.	2	1

Providing dental services (e.g. mobile dental clinic) for the benefit of the patients and community at large.	1	1
Total Community Service	5	5
Professional Services		
Representing AU in national or international professional meetings approved by VCAA.	1	1
Effectively serve as the editor in chief or associate editor of a peer-reviewed journal as per AU journal classification.	1	1
Serve as reviewer of at least 5 manuscripts submitted to peer-reviewed journals as per AU journal classification.	1	1
Serving as a session chair or technical program committee member in Scopus indexed conference.	1	1
Organizing a conference, workshop, session, or panel judged as significant by HoD/Dean.	1	1
Championing a research collaboration agreement with top 200 ranked international universities.	1	1
Receive an award of recognition from renowned local and/or international event organizers.	1	1
Invite and host guest speakers on campus from industry.	1	1
Being an external examiner or co-supervisor for graduate students at accredited university outside AU.	1	1
Supervise/mentor students to participate in professional events.	1	1
Total Professional Services	10	10
Miscellaneous Services		
Other services that are not categorized previously in this evaluation form, and judged as significant (with evidence) by HoD/Dean.	1	1
Total Miscellaneous Services	1	1
Bonus		
Providing effective academic support to academically at-risk students assigned by the college. The effectiveness of this advising service is judged by HoD/Dean based on evidence.	1	1
Total Bonus	1	1
GRAND TOTAL	44	52



A MS Excel worksheet (Faculty Self-Assessment Excel (FSAE)) shall be used for the calculation of service score.

Appendix-1

Faculty Appraisal Form (FAR)

This form shall be used and submitted by the HoD and College Dean to the VCAA

Faculty Member Details

Faculty Name	
Department	
College	
Email	
Date of joining AU	
Faculty Evaluation Dates	

FACULTY MEMBER'S OBJECTIVES

No.	Current Objectives	Objectives of Current Evaluation Period	Comments on Performance of each Objectives	Objectives for Next Evaluation Period
1	Teaching Objectives:			
2	Research Objectives:			
3	Services Objectives:			

Evaluation of Teaching by the HoD



Teaching weight ($\bar{t}$) = _____

Teaching Rating, TS (out of 5) = _____

HoD Comments:

Evaluation of Research by the HoD

Research weight (r) = _____

Research Rating, RS (out of 5) = _____

HoD Comments:

Evaluation of Service by the HoD

Service weight ($\bar{s}$) = _____

Service Rating, SS (out of 5) = _____

Comments by the HoD:

Scores/Ratings and Comments by HOD and Dean:

Component	Teaching	Research	Services
Weight	$\bar{t} = \underline{\hspace{1cm}} 50 \underline{\hspace{1cm}}$	$\bar{r} = \underline{\hspace{1cm}} 30 \underline{\hspace{1cm}}$	$\bar{s} = \underline{\hspace{1cm}} 20 \underline{\hspace{1cm}}$
Score	TS = $\underline{\hspace{1cm}} 4.2 \underline{\hspace{1cm}}$	RS = $\underline{\hspace{1cm}} 4.5 \underline{\hspace{1cm}}$	SS = $\underline{\hspace{1cm}} 1.8 \underline{\hspace{1cm}}$

The overall score of the faculty member is calculated as follows (*please refer to Faculty Evaluation Guidelines*)

$$S = \bar{t} \times TS + \bar{r} \times RS + \bar{s} \times SS$$

Overall Score of Faculty Member, $S = \underline{\hspace{4cm}}$

Overall Rating of Faculty Member (after additional considerations for Very Good, Excellent, and Outstanding),
Overall Rating = $\underline{\hspace{4cm}}$

Additional Comments by the HoD (optional):

Comments on Faculty Member Performance by the Dean:

Please add space as needed.





Signatures:

Name of HoD: _____

Signature of HoD: _____

Date of Submission to Dean: _____

Name of Dean: _____

Signature of Dean: _____

Date of Submission to VCAA: _____

VCAA Recommendation (in case the faculty rebuttal).

Signature of VCAA (if faculty rebuttal): _____

Final Rating Approved by VCAA and Chancellor

Appendix-2

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 course files with their ICARs are submitted on time.
- The Faculty member is advised to read AU policy on faculty members' performance review.

I. Teaching

One of the most important criteria in the teaching evaluation of faculty members is Students evaluations of the instructor teaching effectiveness based on the Student Course Assessment Survey (SCAS). This is the average of all courses taught by the instructor. Another important criteria is Course Files that shall also include the ICARs: Instructor Course Assessment Reports (*see Appendix 3*). All faculty members are required to submit Students Course Assessment Survey and Course Files for all courses taught by them in the past two semesters. In addition, the faculty member must describe his/her achievements the following criteria of teaching evaluation.

I.1 Courses taught

Spring Semester 20--/20--

Course ID	Course Title	No. of Students

Fall Semester 20--/20--

Course ID	Course Title	No. of Students

I.2 Students evaluations of the instructor teaching effectiveness (Enclose the Student Course Assessment Survey Report for all courses).

I.3 Students assessment of the instructor advising (Enclose the Instructor Advising Report).

I.4 Quality of the ICAR (Enclose Instructor Course Assessment Reports in Appendix 3).

I.5 Participation in teaching and learning self-improvement courses arranged or administered by the Teaching and Learning Center (TLC).

I.6 Development of innovative methods in teaching.

I.7 Incorporating employability and soft skills (e.g. Coursera) in course(s) delivered by the instructor, with zero point if no evidence of effective use of such teaching modules.

II. Research

The faculty member should describe his/her research-related achievements and contributions according to the items mentioned in the EVALUATION CRITERIA FOR RESEARCH above.

Please complete the following table to list your publications (insert more rows in needed)

No.	Publication title	Journal Name	Scopus Indexing (Y/N)	AU Rank (A*, A, B, C)	Status (Published/ Accepted)	Scopus Link (Insert hyperlink)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

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 national or international community as per the EVALUATION CRITERIA FOR SERVICE above.

Please complete the following table to list your main service contributions (insert more rows in needed)

No.	Task (e.g. Committee name)	Type (standing, ad hoc, etc.)	Level (University, College, Department, Community, etc.)	Role (Chair, member, etc.)
1				
2				
3				
4				



5				
6				
7				
8				
9				
10				

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 Comments:

Signature of the Dean:

Date:

Appendix-3

Instructor Course Assessment Report (ICAR)

General Information

Instructor Name							
Academic Year	20... – 20...	Semester	☐ Fall	☐ Spring	☐ Summer		
Course Code		Course Title					
Course Credit Hours (Theory, Lab, Total) (2,1,3)							
Section No.		Total No. of Students		Section Gender	☐ Male	☐ Female	☐ Merged
Average Mark for this Section:							

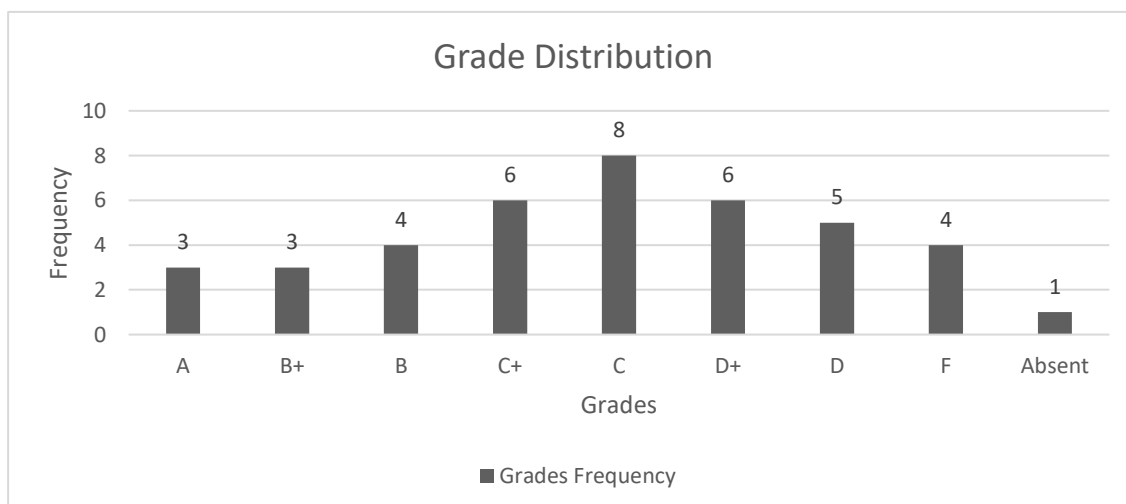
Section 1:

Course Assessment

1.1. Quantitative analysis of student performance, including individual student grades, both cumulative and for each assessment, and grade distribution.

1.1.1. Please provide, in Appendix 1 (at the end of ICAR), the individual student grades, both cumulative and for each assessment [Final CAP Sheet].

1.1.2. Grade Distribution





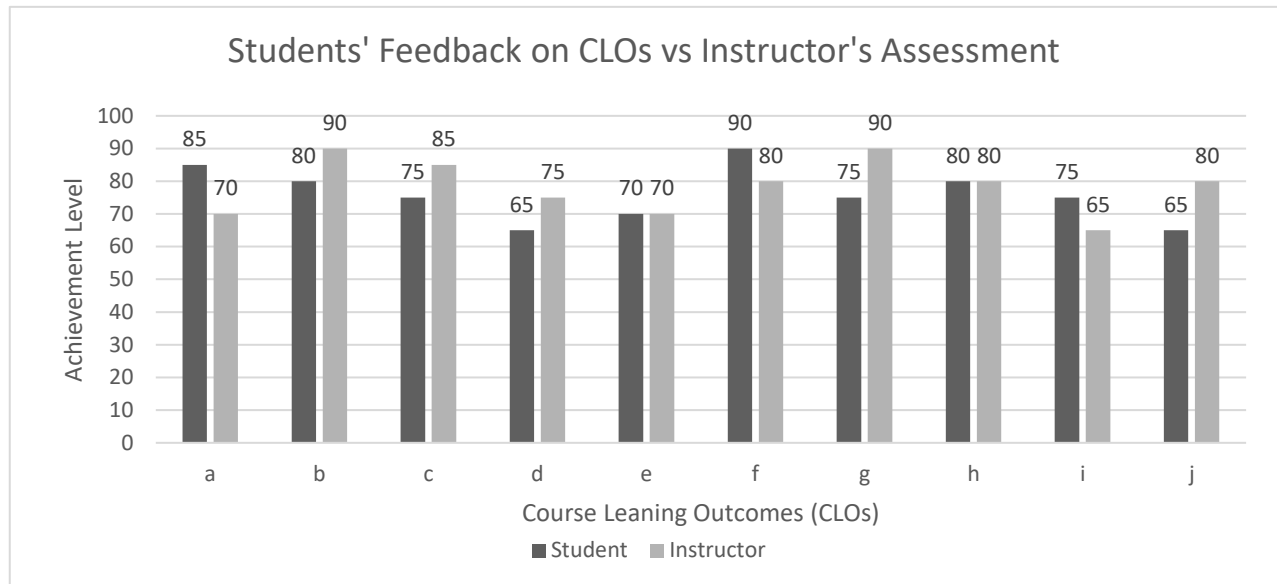
1.1.3. Comments on students' performance

1.2. Assessment of Course Learning Outcomes (CLOs)

#	Course Learning Outcomes (CLOs)	Average Score (%)	
		Instructor's Assessment (CAP)	Students' Feedback (Moodle)
a			
b			
c			
d			
e			
f			



1.3. Graphical Representation of Students' Feedback and Instructor's Assessment of CLOs:



1.4. How does students' feedback on course learning outcomes (CLOs) differ from their assessment by the course instructor? Please provide analysis of any discrepancy:

1.5. Comprehensive Instructor review of the presentation of the Course:

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

Section 2:

Corrective/Improvement Actions Recommended by the Instructor

2.1. Recommended corrective actions for unachieved CLOs in the current offering of the course (Skip if all CLOs were achieved):

CLO #	Course Learning Outcome (CLO)	Recommended Corrective Action

2.2. Instructor's recommendations for course improvements (even if all CLOs were achieved):

#	Recommended Course Improvement Actions
1	
2	
3	
4	

Section 3:

Student Course Assessment Survey (SCAS) Feedback:

3.1. Students' feedback with respect to the **course** as provided in SCAS Report:

Overall achieved Score (out of 5) for this course in SCAS Report

3.1.1. Course-related Comments:

Please read students' comments in SCAS Report related to this course, and categorize them in the below table in the form of Strengths and Concerns (if there is no comment, leave it empty):

#	Strengths	Concerns
1.		
2.		
3.		

3.1.2. Instructor's proposed corrective action plan based on students' above-mentioned feedback:

#	Corrective Action Plan based on SCAS Feedback on the Course
1.	
2.	
3.	

3.2. Students' feedback in SCAS Report with respect to the **instructor**:

Overall achieved score (out of 5)	
Main reason(s) or challenge(s) faced for not achieving the minimum required score of 4 out of 5. (Skip if not applicable)	
Action plan for improvement in the overall score in the next offering of course (if applicable)	

3.2.1 Instructor-related Comments:

Please read students' comments in SCAS Report with respect to the instructor, and categorize them in the below table in the form of Strengths and Concerns (if there is no comment, leave it empty):

#	Strengths	Concerns
1.		
2.		
3.		

3.2.2 Instructor's proposed corrective action plan based on students' feedback on the instructor:

#	Corrective Action Plan based on SCAS Feedback on the Instructor
1.	
2.	
3.	

3.3. Students' Feedback on **Lab/Studio/Clinic instructor** (if applicable):

(If the Lab/Studio/Clinic is taught by more than one instructor, please add the following tables for each instructor of Lab/Studio/Clinic)

Please read students' comments in SCAS Report with respect to the Lab/Studio/Clinic instructor, and summarize the comments and suggestions in the below table (if there is no comment, please leave it empty):

Instructor Name (1)	

Overall achieved score (out of 5)	
Main reason(s) or challenge(s) faced for not achieving the minimum required score of 4 out of 5. (Skip if not applicable)	
Action plan for improvement in overall score in the next offering of course (if applicable)	

Lab/Studio/Clinic Instructor-related Comments		
#	Strengths	Concerns
1.		
2.		
3.		

3.3.1. Instructor's proposed corrective action plan based on students' above-mentioned feedback on the Lab/Studio/Clinic instructor:

#	Corrective Action Plan based on SCAS Feedback on the Lab/Studio/Clinic Instructor
1.	
2.	
3.	

Section 4:

Continuous Quality Enhancement

4.1. Implementation of corrective actions (for unachieved CLOs) that were recommended in Section 2.1 of CAR for previous offering of the course. (Skip if not applicable)

#	Corrective Actions recommended in Section 2.1 of CAR (as approved by ACIC and CEC)	Were these actions implemented this semester (Yes/No)? If not, why?
1		
2		
3		



4		

4.2. Please summarize how above-mentioned corrective actions helped in improving the course. If no improvement was achieved, explain the possible reasons. (Skip if not applicable)

4.3. Implementation of course improvement actions that were recommended in Section 2.2 of CAR for previous offering of the course:

#	Course Improvement Actions recommended in Section 2.2 of CAR (as approved by ACIC and CEC)	Were these actions implemented this semester (Yes/No)? If not, why?
1		
2		
3		
4		

4.4. Please summarize how above-mentioned improvement actions helped in improving the course. If no improvement was achieved, explain the possible reasons.

4.5. Implementation of corrective actions (based on SCAS feedback) that were recommended in Section 2.3 of CAR for previous offering of the course:

#	Corrective Actions recommended in Section 2.3 of CAR (as approved by ACIC and CEC)	Were these actions implemented this semester (Yes/No)? If not, why?



1		
2		
3		
4		

4.6. Please summarize how above-mentioned corrective actions helped in improving the course. If no improvement was achieved, explain the possible reasons.



Reviewed and Approved:

Instructor's Signature

Date

.....

.....

Head of ACIC's Signature

Date

.....

.....

Head of Department's Signature

Date

.....

.....

Section 5 (CAP Sheet)

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
V 2.2	13/04/2021	Minor changes with adjustments to evaluation criteria	Vice Chancellor for Academic Affairs
V 2.3	17/11/2021	Minor changes with adjustments to evaluation criteria	Vice Chancellor for Academic Affairs
V 2.4	21/03/2022	Minor change with evaluation criteria for research	Vice Chancellor for Academic Affairs



Adjunct Faculty Performance Evaluation Policy

Policy Owner(s)	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCCA
Approved By	Chancellor	Effective Date	Mar. 2022
		Next Review Date	Mar. 2025

Purpose

Ajman University, in line with its continuous improvement process, provides constructive feedback to its adjunct faculty based on their performance evaluation. In particular, the adjunct (part-time) faculty performance review is utilized to provide all adjunct faculty with timely information regarding the extent to which they are meeting the college and university expectations of their performance in teaching.

Adjunct Faculty Performance Evaluation

Ajman University has a regular and systematic evaluation of adjunct faculty performance in teaching in order to ensure academic effectiveness. This includes the following:

- Students evaluations of the instructor teaching effectiveness based on the Student Course Assessment Survey (SCAS).
- Assessment of Course Files, which includes Instructor Course Assessment Reports (ICARs).

Research is not a requirement from adjunct faculty. However, an adjunct faculty may like to submit to the HoD his/her publication(s) with AU affiliation during the evaluation period.

Guidelines

The evaluation criteria defined in this document is for adjunct faculty members only. An adjunct faculty member who joins the University shall meet with their Head of Department at the beginning of the joining semester to reach an understanding about their performance evaluation. For Classroom/Lab courses, the quality of the submitted course file(s), Instructor Course Assessment Report (ICAR), and students' evaluation shall be the basis of evaluation for teaching.

The overall performance of adjunct faculty members will be rated as *Outstanding* (4.5-5.0 score), *Excellent* (4.0-4.49 score), *Very Good* (3.5-3.99 score), *Good* (3.0-3.49 score), *Satisfactory* (2.5-2.99 score), *Needs improvement* (2.0-2.49 score) and *Unsatisfactory* (0.0-1.99 score).

Evaluation Criteria for Teaching

All Adjunct faculty members are expected to:

- Meet the class at scheduled times unless there are extenuating circumstances (covered in the SCAS).
- Prepare examination questions and other coursework that appropriately cover CLOs (covered in the SCAS).
- Provide timely feedback on examinations and other coursework (covered in the SCAS).
- Prepare and submit on time the instructor course assessment report(s) and course file(s) of the course(s) taught.

Document History

Version	Date	Update Information	Author/ Reviewer



Adjunct Faculty Evaluation Report (AFER) Form

This form shall be used for evaluation of adjunct faculty and submitted by the HoD and College Dean to the VCAA.

Adjunct Faculty Details

Adjunct Faculty Name	
Department	
College	
Email	
Date of joining AU	
Adjunct Faculty Evaluation Date	
Publications with AU Affiliation (Optional)	

Adjunct Faculty Performance Evaluation	Score
1. Student Course Assessment Survey (SCAS)	
2. Assessment of Course Files, including Instructor Course Assessment Reports (ICARs)	
Overall Score	

Performance Evaluation by the HoD

Overall Rating of Adjunct Faculty Member =

Comments of HoD:

Performance Evaluation by the Dean:

Overall Rating of Adjunct Faculty Member =

Comments of Dean:

Signatures:

Name of HoD: _____

Signature of HoD: _____

Date of Submission to Dean: _____



Name of Dean: _____

Signature of Dean: _____

Date of Submission to VCAA: _____

College Dean Performance Policy

Policy Owner(s)	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCCA
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 2024

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 academic dean in the University at the end of the academic year. The review process is to be initiated by the Office of the VCAA.

The VCAA requests the deans to provide the Dean's Self-Evaluation Report (DSER) which is in line with their performance contracts (PC). The Office of the VCAA seeks appropriate input and feedback from each college's faculty members and Heads of Departments (HoDs) through formal surveys given below. The VCAA prepares a final evaluation report for each dean based on his/her DSER and the outcome of the surveys of his/her respective faculty and HoDs. 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 VCAA shares the reports with the respective deans for their comments and feedback. Accordingly, the VCAA finalizes the evaluation reports with his recommendations and shares them with the Chancellor for his final approval.

Upon conclusion of the review, the VCAA communicates the final reports to the respective deans.

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:

- Demonstrating evidence of commitment to the highest standards of quality in teaching, scholarship/research, and academic development.
- Providing leadership in all academic matters, with responsibility for coordinating, evaluating and improving curricula and programs and for promoting excellence in teaching and research.
- Facilitating goal setting by individuals, programs, departments, and the college in alignment with the University mission and strategic plan.
- 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 internal and external resources for the college.
- 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 which highlights his leadership and achievements in the following items:

- Recruitment and Development of Qualified Faculty and Staff
- Recruitment of Bright Students and Growth in Intake
- Financial resources' management and development
- Enhancement of the Quality and Relevance of Academic Programs
- Development in the Number and Quality of Academic Programs
- Development of Academic Facilities
- Development of quality Scholarly Activities and Impactful Research Output
- Development of Curricula and Learning Resources
- Building Effective Strategic Partnerships with External Institutions
- Community Engagement Initiatives
- Local and International Accreditations
- Enhancement of Co-curricular Activities in the College
- Vision and Plans to address the College's Challenges and Opportunities for Growth and Development
- Other Initiatives and Achievements

Confidentiality:

It is essential that utmost confidentiality be maintained during the review process. The individuals engaged for the logistic support are expected to maintain confidentiality of information, decisions and identity of individuals.

College Dean Performance Review (Faculty Survey)

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
A	Organizational Matters					
1	Communicates priorities, instructions and policies 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	Empowers Heads of Departments and faculty.					
B	Leadership					
5	Promotes excellence in teaching and research.					
6	Provides leadership in all academic matters, including coordination, evaluation and improvement of 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 initiatives					
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 workloads						
15	Provides support for the successful recruitment and retention of faculty and staff						
16	Recognizes contributions of faculty						
17	Supports Faculty and staff in providing service to the University community						
18	Responds to issues of concern for faculty						
19	Encourages and promotes career and professional development among faculty						
20	Evaluates faculty effectively and fairly.						
21	Maintains appropriate levels of confidentiality in personnel matters						
D	Character & Personal Attributes						
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						
E	Resources Development						
25	Advocates for adequate resources to advance the mission of the college						
26	Encourages and assists faculty professional development						
27	Manages college resources for program effectiveness						
28	Builds and maintains impactful partnerships with local and international organizations and community institutions.						
F	Contribution to AU Mission & Vision						
29	Aligns the college's strategic goals with University strategic goals and objectives.						
30	Promotes university enrollment goals, including, recruitment, retention and graduation rates.						
G	Comments						
31	Overall, what are the major strengths of your dean?						
32	Overall, how could your dean improve?						

College Dean Performance Review (HOD Survey)

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
A	Leadership and Vision					
1	Demonstrates leadership during times of crises or challenge					
2	Solves problems efficiently.					
3	Advocates for the different departments/ Units.					
4	Supports engagement activities consistent with the University's and College's mission					
B	Management					
5	Is open to opinions and suggestions about college issues.					
6	Allows appropriate levels of independence and decision making at the level of department/ unit					
7	Provides constructive feedback					
8	Conducts regular official College Council meetings					
C	Resource Development					
9	Manages college resources for program effectiveness					
10	Develops outside support and visibility for the college and its programs					
D	Comments					
11	Overall, what are the major strengths of your dean?					
12	Overall, how could your dean improve?					

Document History

Version Date

Update Information

Author/ Reviewer



V 1.0	25/05/2017	New policy – CAA Standard	Vice Chancellor for Academic Affairs
V2.0	30/04/2021	Updated DSER Report items and Review/Survey Form Feedback Items	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	March 2023
		Next Review Date	March 2026

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 must meet the following criteria:
 - Has served as a Lecturer for at least five (5) years;
 - Has demonstrated excellent performance in teaching and advising students over the past five years;
 - Has impacted students in developing their knowledge and skills;
 - Has made useful contribution in the development of course materials;
 - Has performed well in successfully completing the assigned service tasks;
 - Has obtained an "excellent" rating in the service category for the past two years;
 - Has produced some scholarly output such as at least one Scopus-indexed journal publication, or one creative art work, as listed in the Faculty Promotion Policy (in the last two years), or has made significant contribution in industry/professional practice.
4. For promotion to the rank of Principal Lecturer, the applicant must meet the following criteria:
 - Has served as a Senior Lecturer for at least five (5) years;
 - Has demonstrated excellent performance in teaching and advising students over the past five years;
 - Has significantly impacted students in developing their knowledge and skills;
 - Has made valuable contribution in the development of course materials;
 - Has consistently achieved the targets of assigned service tasks;
 - Has obtained an "excellent" rating in the service category for the past three years;
 - Has produced at least two Scopus-indexed journal publications, or two creative art works, as listed in the Faculty Promotion Policy (in the last three years), 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.

It may be noted that the University does not permit an Assistant Professor to remain in the same rank for more than 10 years. In exceptional cases, a further extension of up to two years may be granted to faculty serving in major administrative positions, upon approval by the Vice-Chancellor for Academic Affairs.

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%. The selection of weights for the three categories must be in alignment with the actual effort allocated by the faculty on these categories over the past 3-5 years.

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.

An applicant whose promotion has been declined due to low scores in his/her research papers is entitled to reapply if he/she submits alternative papers to those for which the previous score was below 70% for promotion to the rank of Associate Professor, and below 80% for promotion to the rank of Professor.

The newly submitted research papers should fulfill the criteria set out in the Faculty Promotion Policy regarding the quality of both the content and the journals in which the papers are published/accepted for publication.

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 shortcomings 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 Center 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

- If the application is rejected, the applicant may re-apply for promotion in the following academic year.
- 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	10 th September
2	Dean forwards the letter of intent to the VCAA	17 th 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

Academic Support Staff Promotion Criteria

An academic support staff may apply for promotion to a higher rank if he/she meets the following criteria:

- a. For Assistant Instructor/Assistant Clinical Instructor to be promoted to Instructor/Clinical Instructor rank must meet the following criteria:
 - Has served as an Assistant Instructor/Assistant Clinical Instructor for at least five (5) years;
 - Has demonstrated excellent performance in serving as an Assistant Instructor/Assistant Clinical Instructor over the past five years;
 - Has impacted students in developing their knowledge and skills;
 - Has demonstrated excellent teamwork;
 - Has performed well in successfully completing the assigned service tasks;
 - Has participated in research activities with students and/or faculty members.
- b. For Instructor/Clinical Instructor to be promoted to Senior Instructor/Senior Clinical Instructor rank must meet the following criteria:
 - Has served as an Instructor/Clinical Instructor for at least five (5) years;
 - Has demonstrated excellent performance in serving as an Instructor/Clinical Instructor over the past five years;
 - Has significantly impacted students in developing their knowledge and skills;
 - Has demonstrated excellent mentoring skills;
 - Has performed very well in successfully completing the assigned service tasks;
 - Has co-authored at least one Scopus-indexed publication.

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
V 2.2	22/10/2020	Minor change – added the section “ Academic Support Staff Promotion Criteria”	Council for Academic Affairs
V2.3	17/08/2021	Minor change in Article 16 – Inclusion of promotion reapplication	Council for Academic Affairs
V2.4	07/09/2022	Minor change in Article 14 – Inclusion of effort allocation	Vice Chancellor for Academic Affairs
V2.5	23/03/2023	Minor change in Article 12 – Inclusion of limit for Assistant Professor to remain in the same rank.	Vice Chancellor for Academic Affairs

Staff Training and Development Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chancellor	Effective Date	Jun. 2022
		Next Review Date	Jun. 2025

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):

- COO shall ensure that the ‘Training and Development’ policies and procedures are in conformance of the strategic goals and direction of AU;
- Facilitates the continued sponsorship of the ‘Training and Development initiatives by the allocation of sufficient funding;
- 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;
- COO shall be accountable for overseeing the strategic initiatives and outcomes in the Training and Development realm;
- 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.

TRAINING CATEGORIES

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;

TRAINING TYPES

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

- Verify the 'Strategic Training Plan';
- Verify the 'Annual Training Calendar';
- Review the need for engaging an external training vendor /trainer;
- Participate in Training Needs Analysis;
- Verify and approve the TNA(s);
- Partake in the Training Design phase as and when required;
- Verify and approve the 'Training Design' being incorporated for a new training course;
- Verify, suggest and approve corrections to the 'Employee Skill Database';
- Share the up-to-date 'Employee Skill Database' to all the requisite stakeholders at the end of every quarter;
- Suggest process improvements in 'T and D';
- Maintain an interface with external training consultants /agencies;
- Ensuring that presentation, delivery and content of a training course are as per the 'AU - Code of Conduct'.
- Offer Professional advice, expertise and guidance to Managers and Individuals.
- 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	
	1 st Level	2 nd 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
V2.1	29/06/2022	The policy has been reviewed and there are no changes required.	Human Resources Manager

Staff Performance Appraisal Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chancellor	Effective Date	Jun. 2022
		Next Review Date	Jun. 2025

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.

Scope

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.

Objectives

1. Reconcile and cascade AU's strategic goals down to the individual levels.
2. Share and communicate performance expectations for all staff members.
3. Identify and recognize high performers and potentials at 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 a 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. Total weight of 100 is 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, the number of objectives is a 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 a 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 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 behavioral 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.

Note: Please check Appendix-A for the 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 consult their area cabinet member 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 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 grievance or re-evaluation by an official individual or committee as assigned by the top management.

Changes in Employment Conditions

In the case of a 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 three (3) months at the time of PA, the previous supervisor will be responsible for the 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 six (6) months at the time of PA, then the new supervisor will be completely responsible for 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 Expectations (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 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 (DNM), the direct supervisor should 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 judgment, 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 submitted 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 COO – Chief Operating Officer for a final decision.

Performance Appraisal Consequences

- 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.
- The top management shall decide and announce such an 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.
- As for those who are rated with “Does Not Meet Expectations” (DNM), the management reserves the right to decide on their continuity at work or any other relevant disciplinary action.
- 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).
- Staff members who are eligible for any other type of 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 behavioral competencies, 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 a consultancy contract basis.
 - Part-Time or temporary 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 a voluntary basis.

Appendix A

Competency dictionary with some examples of what a 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 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 demonstrate 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 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 that 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; 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 acknowledgment 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 an 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' viewpoints and is open to considering new ways of doing things.
DNM	Do not take any effort to understand the rationale behind the 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 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 a systematic and structured approach to investigate, organize, and analyze data. Puts a problem in context and uses critical judgment 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 at building a good relationship with 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 a 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 the direct supervisor in the manner that is outlined. Makes decisions that impact their 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; consider 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 a decision, or to produce alternative solutions to issues that may arise.



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 a fair and positive/respectful manner.

13.	Planning & 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 a 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 ensure 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 to maximize the utilization of time and resources.

14.	Cultural Awareness/ Orientation
O	Demonstrates interest in cultural differences, adapting their 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 to 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 & 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 their 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 & Punctuality
O	Knows how to manage time most efficiently 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 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 a detailed explanation of what each rating represents in relation to the specified evaluation criteria.

1.	Effective Management
O	Motivates employees 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 continuously; provides constructive performance feedback when employees 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 & 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 change 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 employees, 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 department/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 & 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 Department/ University regarding efficient delegation and staffing decisions.
M	Empowers direct reports to make independent decisions and judgments regarding their assignments within the Department/ 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 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 department/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 department/ 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 employees 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
V 2.2	29/06/2022	The policy has been reviewed and still undergoing further review by the Office of the COO.	Office of Human Resources

Staff Promotion Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chancellor	Effective Date	Jun. 2022
		Next Review Date	Jun. 2025

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 and Procedures

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):

- C.O.O shall ensure that the 'Promotion Policy' is in conformance to the strategic goals and direction of AU;
- Overseeing adherence to the promotion policy and guidelines;
- Approving the recommendations regarding Staff Member promotions.

Office of Human Resources:

- HR shall own, manage and upgrade (from time-to-time) the 'Promotion Policy';
- Working with Supervisors/ Reporting Managers to identify promotion candidates;
- Seeking all relevant approvals for the promotion;
- Documenting and communicating all changes to staff members' role and entitlements after a promotion.

Supervisors /Reporting Managers:

- Tracking Staff Member performance;
- Identifying and nominating Staff Members for promotion;
- Providing required inputs and documentation to support the promotion nomination.

Staff Affairs Committee

- Objectively reviewing and agreeing on successful Staff Members for promotions
- 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 Staff 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 Staff 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 Staff 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 Staff 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



V 2.1 | 29/06/2022

The policy has been reviewed and there are no changes required.

Office of Human Resources

Personnel Policy

Policy Owner	Chief Operating Officer	Responsible Office	Office of Human Resources
Approved By	Chancellor	Effective Date	March 2023
		Next Review Date	March 2026

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 Human Resources and Emiratization 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.

Contents of Personnel Files

The personnel records should include the following (but may be filed separately):

- Passport Copy / Photo ID (where required).
- Spouse and Children passport copies
- Academic Degrees and transcripts
- Promotions (Academic Ranks for faculty members)
- Résumé
- Employment Offer (visitor/resident)
- Academic Rank Evaluation Form
- Contracts
- Joining Date Form
- Attendance and Absence Records
- Vacation and sick leave records
- Yearly leave records
- Recommendation letters from senior management or other staff
- Work correspondences between staff and supervisor
- Disciplinary memos issued to staff
- Job descriptions
- Performance evaluations issued to staff and staff's responses
- Resignation letter (when applicable)
- Termination notice issued to staff

- Transfer or promotion requests or transaction

Procedure

- 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.
- The Office of Human Resources shall always maintain and update complete records for each faculty member and professional staff employed by the University.
- 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.
- 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.
- In line with AU's Information Technology Policy, regular backup is conducted on the HRNET system and on the electronic personnel files through the archiving system.
- AU employees have access to their personnel information and through HRNET system, including the right to review the file and correct erroneous information. For items that cannot be edited, the employee can contact the Office of Human Resources for their appropriate action.

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
V 2.1	13/06/2021	Reviewed – Updated with the new name of government entity "Ministry of Human Resources and Emiratization".	Human Resources Manager
V 2.2	29/06/2022	Minor changes – Addition of items e and f.	Human Resources Manager
V 2.3	15/03/2023	Addition of contents of personnel files consistent with the Staff Manual.	Human Resources Manager

Faculty Workload Policy

Policy Owner(s)	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date (revised)	March 2023
		Next Review Date	March 2026

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, project supervision, committee work, and thesis supervision, research, service, and curriculum development.

The assignment of workloads is therefore organized on the following principles:

- For non-terminal degree holders teaching in the General Education component of programs, the maximum teaching load is 15 credit hours per semester.
- For terminal degree holders teaching in undergraduate programs, the maximum teaching load is 12 credit hours per semester.
- For faculty only teaching in graduate programs, the maximum teaching load is 9 credit hours per semester or pro-rata for faculty teaching a mix of undergraduate and graduate courses.
- The teaching load of part-time faculty members is limited to a maximum of 6 credit hours per semester.
- Teaching in the summer term is optional with teaching load limited to 6 credit hours.
- The release time from teaching for the Deans of Colleges is normally 6 credit hours, while it is 3 credit hours for the Heads of Academic Departments. Appropriate release time from teaching is also given for other major administrative and research assignments.

The above teaching load arrangements mentioned in items a, b and c also apply for visiting faculty members.

Supervision of Undergraduate Students' Graduation Projects

The load for the supervision of students' graduation projects is calculated on the basis that supervising 6 students is equivalent to 1 credit hour.

Supervision of Student Trainees

- The load for the supervision of student training is calculated on the basis that supervising 8 student trainees is equivalent to 1 credit hour.
- For the College of Pharmacy and Health Sciences training supervision is treated as a regular section.
- For the Professional Post-graduate Diploma in Teaching, the 6 credit hours of the course translates to 4 credit hours in the load of the faculty member. The training course is treated as a regular section.

In compliance with Stipulation 5.7 of the CAA Standards 2019, the University has an established 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 Instructors who will be helping them in some of the lab and/or tutorial parts of the course. Instructors will not have any part of the course credit hours assigned to them.

For a graduate level Seminar course, 2 credit hour Seminar course will be considered as 2 credit hour load for faculty. However, for an undergraduate Seminar course, 2 credit hour Seminar course will be considered as 1 credit hour load for faculty.

Except for the Independent Study course, the University requires a minimum number of registered students in a regular course section to be opened. However, if under exceptional circumstances, a regular course section is to be opened with a number of registered students below the required minimum number, the section will be counted for the faculty as a regular section within his/her regular load.

In line with CAA Stipulation 5.8.4, the weekly office hours shall range from 6-10 for full-time faculty, as approved by the Head of Department. For part-time faculty, 3 weekly office hours for those teaching two courses (typically 6 credits) and 2 weekly office hours for those teaching one course.

Teaching overload

AU monitors and ensures that assigned teaching loads to faculty complies with the above workload limits (a-f). In exceptional circumstances where teaching assignments become in excess of the above requirements, and overload is unavoidable, the overload is normally limited to one three-credit course per faculty member per year, and faculty shall be appropriately compensated for that.

Overload Rates for undergraduate courses:

Rates (Per Semester)

Rate of theoretical courses for Undergraduate Programs:

Faculty	Rate per Credit Hour
PhD holder	AED 4480
Master holder	AED 3840

Rate of practical courses (Labs/Tutorials) for Undergraduate Programs:

Faculty	Rate per Hour
PhD holder	AED 2880
Master holder	AED 2560

Overload rates for graduate courses:

Rates (Per Semester)

Rate of Theoretical Master/PhD courses:

College	Rate per Credit Hour
Graduate Diploma Courses – College of Humanities and Sciences	AED 4480
Master courses – all Colleges	AED 4800
PhD courses – College of Law	AED 4800
DBA in College of Business Administration	AED 6000

Rate of practical courses for Master Programs:

College	Rate per Hour
College of Pharmacy	AED 2880
College of Architecture, Art and Design (PhD Holder)	AED 2880
College of Architecture, Art and Design (Master-degree Holder)	AED 2560
College of Dentistry	AED 3200
College of Humanities and Sciences (Master & Diploma)	AED 2880
College of Mass Communication	AED 2880

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
V 3.0	23/09/2020	Minor change- added Stipulation 5.7 as a reference from CAA Standards 2019	OIPE Executive Director
V 3.1	18/11/2020	Minor change- updated workload assignments	OIPE Executive Director
V 3.2	05/05/2021	Minor change – added teaching overload and updated the compensation rate	Office of Human Resources
V 3.3	24/06/2022	Minor change – The visiting faculty workload has been added.	Vice Chancellor for Academic Affairs
V 3.4	25/08/2022	Minor change – The office hours have been added.	Vice Chancellor for Academic Affairs
V 3.5	25/11/2022	Minor change – Added project supervision	Vice Chancellor for Academic Affairs
V 3.6	24/01/2023	Minor change – Added the workload for supervision of undergraduate students' graduation projects, and supervision of student trainees.	Vice Chancellor for Academic Affairs
V 3.7	23/03/2023	Minor change – Added the teaching load for seminar, and independent study courses.	Vice Chancellor for Academic Affairs

Professional Requirements for Teaching Policy

Policy Owner(s)	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Sep. 2022
		Next Review Date	Sep. 2025

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.

1. All faculty members employed in the University shall have preparation and qualifications appropriate to the field and level of their assignments.
2. The faculty members must have terminal degrees earned from internationally recognized institutions of higher education.
3. 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.
4. 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.
5. 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.
6. 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.
 7. 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.
 8. 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)
 9. 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 2019 CAA Standards	Vice Chancellor for Academic Affairs
V 1.2	22/09/2022	Minor changes were made	Vice Chancellor for Academic Affairs

Compensation Policy

Policy Owner	Chief Operating Officer	Responsible Office	Office of Human Resources
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 2024

Purpose

The main aim of the policy is to provide attractive, effective, and market-relevant compensation and benefit rates for professional faculty positions in order to attract and retain highly qualified and experienced faculty members for AU's colleges. Furthermore, it gives information to faculty members regarding their rights in terms of salary and benefits provided by the University.

Scope

This policy applies to all full-time faculty and staff members, academic support staff and their eligible dependent children.

Definitions

Faculty Member: Academic employee who has an academic rank, is assigned a teaching load and directly involved in teaching activities. This does not include adjunct faculty members, nor the full-time research associate in the Artificial Intelligence Research Center (AIRC).

Staff Member: Administrative or technical employee who is not directly involved in teaching activities.

Academic Support Staff: Staff member who is involved in teaching or research activities by assisting faculty members in delivering courses, conducting research or other academic services. This category includes but not limited to: teaching assistants, research assistants, general practitioners, clinical tutors.

Visitors: Faculty members visiting the University for 1 or 2 academic semesters with an agreed-upon teaching load.

Dependent Children: The term "Dependent Children" shall mean unmarried sons up to 18 years old, and unmarried daughters up to 22 years old at the employee's work anniversary date, and who are holding valid UAE residency at that date.

Statement

Ajman University is committed to providing faculty and staff members with the salary and benefits outlined in their contract. In addition to the private health insurance, the package includes the basic salary, cost of living allowance, furniture allowance, housing allowance, education allowance, research allowance, and annual air travel tickets (for expatriates). Furthermore, expatriate faculty members are usually entitled to a severance pay at the end of their contract (one-month basic salary every year of service at the University).

AU Faculty Salary Structure

#	Description	ACADEMIC RANK			
		Lecturer	Assistant Professor	Associate Professor	Professor
1	Salary Range	12,500-24,000	17,000-31,500	19,000-36,000	21,500-45,000
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		
		1 st child 50%, 2 nd child 25%, 3 rd child 25%			
5	Ticket Allowance (for expatriates)	Faculty member + spouse + 3 dependents are entitled for economy class air ticket, except for deans who are entitled to business class			
6	Health Insurance	100% coverage for faculty + spouse + 3 dependents			
7	Social allowance (UAE nationals only)	90,000	120,000	138,000	156,000
8	End of Service Benefit (expatriates)	One-month basic salary for each year of service, not exceeding the total of two years' basic salary.			

AU Faculty Benefits

1. Faculty members are entitled to a monthly compensation, which is paid at the end of each calendar month.
2. The monthly compensation includes the basic salary as well as allowances based on the specified scales based on academic rank, experience, and other factors as specified in individual contracts.
3. Faculty members, their spouses, and three (3) dependent children are entitled to an initial one-way economy class air ticket from their country of citizenship (or any other agreed-upon country) to the UAE on the date of joining. For new members, this ticket will be paid only once. To redeem the allowance, the family must join the faculty member within three months of their arrival to the UAE.
4. An eligible faculty member, his or her spouse, and dependent children are not eligible for air ticket reimbursement during the year in which his or her service is terminated for any reason, or his or her contract expires or ends. Accordingly, there will be no pro-rata. For example, if the termination letter, letter of resignation acceptance, or agreement for employment contract termination were issued prior to his/ her joining anniversary, he/ she will not be eligible for an air ticket allowance. They will, however, be entitled to receive it if the termination letter, letter of resignation

acceptance, or agreement for employment contract termination were issued after his/ her joining anniversary.

5. The air ticket allowance will be paid in cash on the employee's employment anniversary at the rate determined by the Office of Community Engagement. If a faculty member's employment ends (for any reason) before completing a full year's service, the faculty member is not entitled to a pro rata portion of the annual air tickets.
6. In line with the University's policies and bylaws, the faculty member is also entitled to the following benefits:
 - a. **Housing Allowance:** faculty members are entitled to an annual housing allowance, which is paid in monthly installments. The amount of this allowance is determined by whether the faculty member has a Ph.D. or a Master's degree.
 - b. **Furniture Allowance:** Faculty members are eligible for a furniture allowance, which is paid in full in one installment with the first salary only. This amount is depreciated at a rate of 50% per year for two consecutive years of work at the University.
 - c. **Medical Insurance Benefits:** Faculty members, their spouse, and three dependent children are entitled to a private medical health insurance provided by the University in accordance with its Medical Insurance Policy, which may be amended from time to time at the University's sole discretion. The University will cover 100 percent of a visiting faculty members' medical health insurance, but only 50% of the faculty members spouses' medical health insurance.
 - d. **Annual Education Allowance:** According to AU educational allowance policy, AU resident faculty members are eligible for education allowance for up to three dependent children, as provided in the University's Educational Allowance Policy, the children must be residing and enrolled in UAE schools. The distribution of the allowance amount (based on the rank of the faculty member) for each child must not exceed the eligible cap. The education allowance is paid in several installments.
 - e. **Air Tickets:** After completing each year of service, AU faculty members, their spouses, and three dependent children are entitled to one annual round-trip tickets on the economy class to their country of citizenship, as long as they have a valid UAE residency, and in accordance with AU policies. An eligible faculty member and his/ her spouse and eligible dependent children are not entitled to receive air ticket allowance during the year in which his/ her service is terminated for any reason whatsoever, or his/ her contract expires or ends. No pro-rata will be applicable in this case. For example, if the termination letter, the letter of resignation acceptance, or the agreement upon employment contract termination was issued before his/ her joining anniversary, they will not be entitled to receive air ticket allowance. However, if the termination letter, the letter of resignation acceptance, or the agreement for employment contract termination was issued after his/ her joining anniversary, they will be entitled to receive air ticket allowance.
 - f. **End of Service Benefit:** AU expatriate faculty members are eligible for an end of service benefit calculated as thirty (30) days basic salary for each completed year of service, provided that the end of service benefit does not exceed two years of basic salary. In some cases, as specified in the UAE Labor Law, a faculty member can be deprived from the end of service gratuity.

- g. Leaves:** According to their contract and the AU Leaves Policy, faculty members are entitled to various types of leave.

Miscellaneous

- This policy supersedes previous any other old related policies, procedures, minutes of the meeting, manuals, handbooks, and bylaws.
- The Office of Vice Chancellor of Academic Affairs is responsible for handling any issues that might arise and are not covered in this policy, and shall raise recommendations for the Chancellor's final discretion.
- In case of conflict between the Arabic and English versions of the policy, the English one prevails.
- In case of conflict between the employment contract and the policy, the employment contract prevails.
- Any exceptions to this policy must be well justified and escalated to the Chancellor for a final decision.
- Ajman University reserves the right to make changes to its policies at any time and for any reason.
- The updated policy will be deemed to have been delivered, received, and known by all employees one day after posting the updated policy online, or sending the updated version by email.
- The employees shall comply with the updated policy since its effective date.

Effective Date

This policy shall be in effect as of September 1st, 2021.

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 Emirati citizens	Chief Operating Officer
V 1.3	25/7/2021	General amendment	Chief Operating Officer

Non-Discrimination Policy

Policy Owner	The Cabinet	Responsible Office	Office of the Chancellor
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

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”.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	03/11/2019	New policy	The Cabinet
V1.1	03/09/2021	The Academic Freedom section has been removed and developed into a new policy.	OIPE

Conflict of Interest Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chancellor	Effective Date	Oct. 2021
		Next Review Date	Oct. 2024

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.

Scope

This Policy is applicable to all employees.

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 consultancy work without prior approval from the University.
- e. 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, without prior approval from the University.
- f. Situation where a faculty member teaches for another educational, without prior approval from the University.
- g. Authorize the purchase of equipment, supplies or services from a source in which they or their family members have a substantial interest.
- h. Borrows from, or lends money to, individuals representing organizations with which business dealings are conducted.
- i. 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.
- j. Hire any member of their immediate family as an employee or consultant for any project supported by funds administered through the University.
- k. Have a family member directly supervising another family member.

Miscellaneous

- This policy supersedes any other old related policies, procedures, minutes of the meeting, manuals, handbooks, and bylaws. The Office of HR is responsible for handling any issues that might arise and are not covered in this policy, and escalated it to the Chief Operating Officer who shall raise recommendations to the Chancellor for a final decision.
- In case of conflict between the Arabic and English versions of the Policy, the English one prevails.
- In case of conflict between the contract and the Policy, the contract prevails.
- Any exceptions to this policy must be well justified and escalated to the Chief Operating Officer who shall raise recommendations to the Chancellor for a final decision.
- Ajman University reserves the right to make changes to its Policies at any time and for any reason. The updated Policy will be deemed to have been delivered, received, and known by all employees one day after posting the updated Policy on the website, or sending the updated version by email. The employee shall comply with the updated Policy since its effective date.

Effective date

This policy shall be in effect as of October 1st, 2021.

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
V 2.1	02/09/2021	Updated the faculty member related conflict of interest and added the Miscellaneous section	Human Resources Manager

Faculty Disciplinary Policy

Policy Owner	Office of the Chancellor	Responsible Office	Office of the Chancellor
Approved By	Chancellor	Effective Date	Jun. 2022
		Next Review Date	Jun. 2025

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 Chancellor 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
V 1.3	24/06/2022	Minor change – Post-investigation decision notification of the referred faculty shall be made by the Office of the Chancellor, instead of the Office of the Vice-Chancellor for Academic Affairs.	Vice Chancellor for Academic Affairs/ Office of the Chancellor

Staff Disciplinary Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chancellor	Effective Date	Sept. 2021
		Next Review Date	Sept. 2024

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.

Definition

The following terms and expressions shall have the meanings hereunder assigned to them, unless the context indicates otherwise.

The University/AU: Ajman University.

The Chancellor: AU Chancellor.

Staff: People who work at AU under an employment contract, except faculty members.

The Committee: Staff Disciplinary Committee or Special Investigation Committee.

The Policy: The Staff Disciplinary Policy.

Scope

The provisions of this Policy apply to all staff members, and shall be in force as of October 1st, 2021. They apply to any offence committed by any staff member, whether the offence has occurred on campus or during AU-sponsored events. The Policy also applies to any act that harms the reputation or image of the University in any way, even if the act is committed off campus.

Policy and Procedures

Staff Disciplinary Policy and Special Investigation Committees

Violations committed by staff members shall be handled by a committee formed at the discretion of the Chancellor, and consisting of a Chairman, a Vice-Chairman, three other members and a Rapporteur, who is not entitled to vote. The Chancellor shall form Special Investigation Committees comprised of at least four members, whenever necessary. The Disciplinary Committee or the Special Investigation Committee shall examine the facts referred by the Chancellor or his representative, and shall submit the recommendation to him. The complainant normally submits the complaint to the Manager of the Office of Human Resources, who in turn directly and confidentially submits it to the Chancellor.

Committee Meetings and Recommendations

The Committee shall meet at the invitation of the Chairman, and its meetings shall be valid in the presence of at least three members, including the Chairman or the Vice-Chairman. The Committee's recommendations shall be issued upon the consent of the majority of the members present in the meeting, and in case the votes are equally divided, the side which the Chairman or in his absence the Vice-Chairman supports shall prevail.

Consideration of Complaints Referred to the Committee

Recommendation of disciplinary action for sanction shall not be imposed against any staff unless the investigation confirms the complaint and proves that an offence has been committed. The recommendation shall be written and documented, but its duration shall not exceed thirty working days - if possible. The staff against whom the complaint is filed shall be allowed to respond to all the facts attributed to him/her, and the recommendation of disciplinary action for sanction shall be reasoned.

Invitation to Staff Member

The Committee shall invite the staff against whom the complaint is filed to attend the meeting where the facts will be examined in any way it deems appropriate and shall ensure the invitation reaches the staff concerned. The Committee shall also take the necessary measures to ensure full confidentiality, and preserve the privacy and dignity of the staff. The invitation to attend the meeting shall be sent at least 24 hours in advance, and shall include the statement of the sanction attributed to him/her.

Mechanism for Complaints Consideration

The Committee shall hold its meetings to consider complaints referred to it in the presence of the staff concerned or his/her lawyer. In the absence of either of them twice, without reasonable excuse and despite being invited to attend the meeting, the Committee shall decide on the issue as if s/he were present. In any event, all procedures must be carried out in complete confidentiality. The Committee has the right to request the testimony of any other person deemed appropriate, whether in the presence or the absence of the staff concerned or his/her representative.

Documentation of Meetings

1. The procedures for considering complaints shall be duly documented through the minutes of meetings. The staff concerned, the complainant or any interrogated person shall read their statement in the minutes of the meeting and sign all its pages. If any of them fail to sign, their refusal shall be documented at the end of the minutes of the meeting, and their refusal does not result in the nullity of the investigation or record.
2. If the staff concerned, the complainant or any interrogated person does not speak Arabic, a University translator selected by the Committee shall be hired to provide translation services.

Reading Complaints and Statements

The staff concerned shall read the details of the complaint filed against him/her, and the Committee shall inform him/her of the content of all the statements.

Disciplinary Procedures and Sanctions not to be Linked to Judicial Proceedings

Disciplinary procedures and sanctions that have been or will be taken by the University shall not be linked to any criminal or civil proceedings that may be brought against the staff, even if they are based on the same acts that have been attributed to the staff.

Committee's Power to Call on Others

The Committee shall draw on all AU departments, units and offices when deemed necessary for the complaints' consideration procedures. It shall also request reports from them, and have access to documents that might be beneficial, in a way that does not violate the University's secrets.

Staff Suspension from Duty

1. The Committee shall recommend the temporary suspension of a staff from duty if s/he is accused of a deliberate offence of self-assault or any offence related to money, honor, trust or strike. The suspension period shall begin from the date the incident is reported to the competent authorities until a decision is made. The staff shall not be entitled to salary during his/her suspension period. If the staff has not been brought to trial or has been acquitted, s/he shall resume his/her duty and be entitled to full salary for the suspension period.
2. In all cases, the Committee shall make a recommendation to temporarily suspend a staff from duty, if needed, even if the act attributed to him/her doesn't constitute an offence. The staff shall be entitled to full salary for the suspension period even if the complaint or the offence attributed to him/her is subsequently proved.

Committee's Recommendation

After considering the complaint or violation, the Committee should make one of the following recommendations:

1. Dismiss the complaint because the offence in question has not been proven yet, or because the act committed does not justify the imposition of a disciplinary sanction.
2. Dismiss the complaint because the litigates have reached reconciliation, in the event of violations that do not affect the reputation of the University.
3. Sign one of the disciplinary sanctions stipulated in this Policy if the violation has been proven.

Providing Reasons for the Committee's Recommendation

The Committee's recommendation shall be sufficiently reasoned to increase the Committee's understanding of all the facts raised in the complaint, and ensure that the Committee's recommendations are well supported. The minutes and recommendations of the Committee's meetings shall be signed by all its members.

Submitting the Committee's Recommendation and Minutes of Meeting to the Chancellor

The Committee shall submit its recommendation and the full investigation file to the Chancellor within seven working days from the date on which the consideration of complaints and violations has been completed to make the appropriate decision. The Chancellor may or may not adopt the Committee's recommendation.

Disciplinary Sanctions

Upon the recommendation of the Staff Disciplinary Committee, the Chancellor shall sign one of the following sanctions stipulated in article 102 of the Labor Relations Regulation Law:

1. Warning.



2. Penalty.
3. Suspension from duty with reduced salary for up to ten days.
4. Deprivation or postponement of the periodic allowance, if the University provides this type of allowances.
5. Deprivation of promotion, if the University has a promotion system.
6. Termination of employment with the right to an end-of-service gratuity.
7. Termination of employment and deprivation of all or some of the gratuity. This sanction shall be exclusively imposed for the reasons mentioned in article 120 of the Federal Law Concerning the Regulation of Labor Relations.

The imposition of the above-mentioned sanctions shall be subject to the rules and procedures of the Federal Law Concerning the Regulation of Labor Relations.

Notifying the Staff of the Decision

The Office of Human Resources shall notify the staff concerned of the decision made after it has been issued by the Chancellor. Staff members have the right to obtain a copy of the decision, if requested.

Appeal a Decision

1. The staff shall lodge an appeal by sending a letter to the Chancellor within five working days from the date of informing him/her of the decision in writing, otherwise the decision will become final and effective.
2. An appeal shall be accepted in form only if it has been lodged within the abovementioned period, and the complainant has proven one or more of the following:
 - Failure to take into account the procedures for considering the complaint stipulated in the University's regulations.
 - The emergence of new data that were not previously known and may have an impact on the content of the decision.
 - Disproportion between the offence and the disciplinary sanction.
3. If the complaint is accepted in form, the Chancellor shall form another committee to consider the appeal lodged by the staff, or refer to the same committee, and then submit its recommendation to the Chairman to make the final appropriate decision.

General Provisions

1. If the articles of this regulation conflict with any other regulation, booklet or guide, this regulation shall apply. If the Arabic version of this regulation conflicts with its foreign version, the Arabic version shall apply.
2. The Committee shall decide on cases for which there is no provision in the Policy.
3. The Committee shall request anyone who has been invited to the Committee, in any capacity, to sign an independent undertaking to remain fully confidential considering the issue as a business secret. The Committee shall prepare and keep the text of the undertaking in the file.

4. Any exception to this regulation shall be justified and shall be submitted to the Chancellor for final decision.
5. AU reserves the right to make any amendment to this Policy at any time and for any reason. The amended Policy shall be deemed to have been delivered, received, and known by all employees one day after posting the updated Policy on the website, or sending the updated version by email. The employee shall comply with the updated Policy since its effective date
6. Notifications sent from the University to the staff by email or by SMS and registered in the University system shall be considered legal and acceptable. The notification shall be deemed to have been delivered as soon as a notice of transmission has been received.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	03/04/2018	Initial policy	Office of Legal Affairs
V 1.1	19/09/2021	General amendment has been made in the policy.	Office of Legal Affairs

Academic Freedom Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Sept. 2021
		Next Review Date	Sept. 2024

Purpose

This policy is established to recognize that a focal point of learning, and a major responsibility of a university is the critical examination of ideas and practices. Therefore, it is essential that students, faculty and staff have the academic freedom to express their views in a responsible manner.

Scope

This policy shall apply to all students, faculty and staff at Ajman University.

Policy Statement

Ajman University (AU) defines academic freedom as the right to unrestricted exposition of subjects within one's field in a responsible manner. AU supports academic freedom through a professionally responsible manner with full compliance of the laws, rules and regulations of the United Arab Emirates. This includes the right to unrestricted scholarly research and publication of findings and expression of ideas and beliefs within the limits imposed by the acknowledgment of teaching, learning and academic research activities directly related to one's discipline consistent with the relevant Code of Conduct. Consequently, the freedom to search for truth and its true exposition is essential to AU's mission to foster effective instruction, continuing scholarship, and active service to the community.

In the exercise of academic freedom, AU faculty, staff and students have an obligation to make clear that they are not representing AU or its Board. Therefore, the University cannot be held liable towards a third Party for their exercise of academic freedom. Without appropriate pre-approval, all faculty, staff and students must avoid any action which appears to commit the University to a position on any issue. They must therefore at all times strive to be accurate, exercise appropriate restraint, and respect the right of others to express their opinions. The exercise of academic freedom must be within the frame of the UAE Legislations.

Any questions or concerns with issues of intellectual or academic freedom at Ajman University should be addressed to College Dean. If the issue is not resolved, it can be raised to the Vice Chancellor's Office.

Miscellaneous

- This policy supersedes any other old related policies, procedures, minutes of the meeting, manuals, handbooks, and bylaws. The Office of the VCAA is responsible for handling any issues that might arise and are not covered in this policy, and raise recommendations for the Chancellor's final discretion.



- In case of conflict between the Arabic and English versions of the Policy, the English one prevails.
- Ajman University reserves the right to make changes to its Policies at any time and for any reason. The updated Policy will be deemed to have been delivered, received, and known by all employees one day after posting the updated Policy on the website, or sending the updated version by email. The employee shall comply with the updated Policy since its effective date.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	03/09/2021	Initial policy – extracted from the earlier Non-Discrimination Policy and updated.	Office of VCAA

AU Employee Code of Conduct Policy

Policy Owner	Chief Operating Officer	Responsible Office	Office of Human Resources
Approved By	Chancellor	Effective Date	May 2023
		Next Review Date	May 2026

1. Glossary of Key Terms

Faculty Member: A full-time employee with an academic rank and an employment contract of at least one year and, who is assigned a teaching load and directly involved in teaching activities. This does not include the visiting or adjunct Faculty Member, nor the Full- Time Research Associate.

Adjunct Faculty Member: A part time employee with a temporary employment contract who is assigned partial academic load to teach certain courses during a specific academic semester.

Visiting Faculty Member (Visitor): A faculty member who is having a temporary employment contract and visiting the University for one or two academic semesters with an agreed-upon teaching load.

Staff Member: An employee who is having an employment contract for a minimum duration of one year continuously and assigned certain administrative, technical or academic support duties, working a minimum of eight hours per day or a maximum of forty-eight hours per week, or as stated in the employment contract.

Part-time Staff Member: An employee who is assigned certain administrative, technical or academic support duties with a daily duty of less than eight hours per day.

2. Statement of Purpose

Ajman University's intent in establishing this "Employee Code of Conduct" is to promote ethics, honesty and professionalism within all the levels of the University and amongst all its employees. AU believes in being an integrated institution where the action of every employee affects the entire institution and its reputation.

Every employee is obligated to strive for the extension of the University's interests within legal limits, and is responsible for preventing damages or loss of the University's interests. AU expects all employees to abide by this Code in carrying out their duties and functions so as to preserve trust and to ensure the institution's sustainable growth and development.

3. Our Commitment

AU is a community of well-trained and highly motivated men and women. All employees are committed to the ethical treatment of all stakeholders. As an institution, we are committed to honesty, integrity, fairness, provision of a safe and healthy work environment and respect the dignity of everyone.

4. Core Values

Employees should reflect the core values of AU in all activities and across all levels. They should advance the core values of AU service excellence, integrity, inclusiveness, social responsibility and innovation; reflect the high standards of competence and ethical conduct; be honest, forthright, impartial, and willing to serve with loyalty.

- 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.

- c. **Inclusiveness:** AU embraces shared governance, inspires tolerance, and promotes diversity.
- d. **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.
- e. **Innovation:** AU supports creative activities that approach challenges and issues from multiple perspectives in order to find solutions and advance knowledge.

5. OBJECTIVES

- a. To promote acceptable behaviors.
- b. To promote high work standards and ethics.
- c. To provide a benchmark for community members to use for self-evaluation.
- d. To establish a framework for professional behavior and responsibilities

6. Scope

This policy is applicable to all AU employees.

7. Office Decorum

Office decorum is about conducting oneself respectfully and courteously in the workplace. All employees are representatives of the institution and are expected to be courteous while attending to students, visitors, vendors, and on official phone calls.

8. Official Mobile/Phone Usage

Any local, country-wide or international dialing facilities will be selected based on approvals to those who are required to make official calls on regular basis. This facility is intended to be used only for official purposes and employees are discouraged to provide office numbers to other agencies related to personal matters. Engaging the phone lines for long durations and utilizing the office phones for personal work shall be avoided.

While employees can bring their personal mobile phones inside the University premises, they are to be used in a manner that does not create disturbance to others. Engaging in personal calls using mobile phones for long time during office hours shall be avoided.

9. Official Internet Usage

Internet access and the use of e-mail have a limited official purpose. The term "official purpose" includes use of the access by employees for their learning and development activities and facilitation of official information sharing. An employee shall not download and share the official internal and confidential documents available in the official shared folders or office intranet to any unauthorized person/agency. Employees may access certain blocked sites with written permission if appropriate and necessary for official, educational and business purposes.

10. Dress Code

All employees are expected to present a professional, business like image to clients, visitors, customers and the public.

Employees are advised to get dressed in a conservative way with full respect to the cultural and religious traditions of the United Arab Emirates. Casual wear (like bermuda shorts, slippers and dresses with prints of abusive language/pictures) must be avoided at all times.



11. University Property

All employees are responsible for the maintenance and accountability of all University property owned or rented. Any damage to equipment, accessories, tools or other assets of the University would be considered as negligence and may be dealt with appropriate disciplinary action.

12. Promote a Positive Work Environment

All employees deserve a work place where they feel respected, satisfied, and appreciated. All employees shall pledge to conduct themselves in a moral, ethical, and beneficial manner in all aspects of their business activities. Following are few guidelines:

A. Mutual Respect

At AU, we emphasize teamwork, dignity, mutual respect and we encourage all interactions to be fair and courteous. Respectful behavior includes acts such as treating stakeholders with courtesy and honor, having an open mind by listening and acknowledging different opinions, and respecting the dignity, privacy and freedom of all.

B. Responsibility

All AU employees have a responsibility to students, clients, vendors, co-workers, business partners, the whole institution and themselves. Responsibilities include providing timely and high-quality services, working collaboratively and meeting all performance expectations.

Employees are also expected to ensure that their actions comply with and are within the meaning and intent of all applicable laws and regulations. They must also ensure that their actions have no unfavorable effects on the society.

C. Trustworthiness

AU employees must maintain mutual trust and confidence in all their relationships; with AU's students, co-workers, supervisors and clients. Employees shall behave in a manner that sustains the other stakeholders' trust and reinforces the reputation of the University.

D. Working with Colleagues

The tenets of the Code of Ethics are based on shared values and shared responsibility to uphold them. We have an obligation to exercise fairness in dealing with others and to provide support and assistance when required. This can happen by giving proper credit to other's contributions, giving and accepting other's professional criticism, and competing fairly.

E. Working with Other Stakeholders

It is of vital importance that all AU employees abide by the highest ethical standards when dealing or interacting with other stakeholders. Doing so ensures that AU not only provides services of the highest quality, but also creates a business environment that reflects its fundamental beliefs including integrity, confidentiality and responsibility.

13. Misconduct And Disciplinary Action

- A. The University shall take appropriate disciplinary action if an employee 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 stipulated under the employment contract, which are issued by the line manager.
 - b. Unauthorized distribution of literature in the work area or posting on institution property.
 - c. Racial or sexual harassment or any other form of harassment to any student, employee or visitor to the University.
 - d. Absence without permission.
 - e. 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.
 - f. 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.
 - g. Falsification of any reports, reports pertaining to absence from work, and communications or records including personnel and production records.
 - h. Threatening, intimidating, coercing or interfering with any person on AU premises at any time.
 - i. Gaining unauthorized access to institution records and files whether they are locked or otherwise.
 - j. Theft of any property on institution premises.
 - k. Submission of false certificates and documents.
 - l. Professional negligence, which causes material or moral damage to the University
 - m. Intentional breaching of the internal published policies and regulation of the University.
 - n. Divulging a professional secret.
 - o. Any substance abuse.
 - p. Offence or violation of the moral ethics of the UAE society.
- B. Employee misconduct cases shall be dealt in accordance with the Disciplinary or Accountability Policies at AU.

14. No Retaliation

This policy prohibits retaliation, harassment, or other adverse action due to making a complaint, assisting in an investigation, opposing harassment or otherwise exercising rights protected by UAE Labor Law.

15. Multiculture

AU values and respects its rich multicultural heritage. The University wholeheartedly engages in cultivating an understanding and mutual acceptance of cultural diversity existing amongst its community members. Multicultural environment demands that AU community members use empathy and intuition to understand the other's point of view, seek the common ground, and also understand

there are many cultures within any given culture. AU community members also support an environment free from favoritism, bias, fear, coercion, discrimination or harassment.

16. Preventing Harassment

AU is committed to ensure that the work environment is conducive to fair, safe and harmonious relations between employees. Discrimination and harassment of any type are strictly prohibited. Violations of this policy will not be tolerated. Behavior that targets another, because of his or her background, language, religion, gender, age, national origin, marital status, political views or disability should not be tolerated. Such verbal or physical conduct that unreasonably disrupts another student/co-worker in his or her work is considered as harassment. All employees have the right to be free from improper or offensive conduct at work.

- A. Conduct constitutes harassment in some cases, including but not limited to when:
 - a. It has the purpose or effect of creating an intimidating, hostile or offensive working environment.
 - b. It has the purpose or effect of unreasonably interfering with an individual's work performance.
 - c. It is otherwise adversely affecting an individual's employment.
- B. A complaint or report of harassment will be immediately investigated and appropriate action will be taken against the offending employee(s). Such action will depend on the nature and seriousness of the offense and will include strict disciplinary action including termination of service.

17. Steer Clear of Conflicts of Interest

1. Playing favorites or having conflicts of interest - in practice or in appearance – is against the fair treatment to which all AU employees are entitled to. Employees must avoid any relationship, influence, or activity that might impair, or even appear to impair, their ability to make objective and fair decisions when performing their job. When in doubt, they should share the facts of the situation with their supervisor.
2. A conflict of interest can arise in day to day transactions such as with suppliers, clients, banks, insurance companies, and people in other institutions with whom we deal and make agreements.
3. The following actions and conditions are specifically prohibited, but are not intended to enumerate all actions or situations which might be avoided:
 - a. Working for any of the groups mentioned above and others for personal gain.
 - b. Employee should not have any direct interest in any company or institution that is considered a competitor to AU, supplier or buyer of any products or services.

- c. Borrowing from, or lending money to, individuals representing institutions with which business dealings are conducted.
- d. An employee should not borrow money or accept advances or other personal payments, gifts or entertainment from any company or firm (or any person acting directly or indirectly for any company or firm), which has transactions or any type of business relations with AU, as described above.
- e. Any situation involving a possible conflict of interest, which arises in relation to the above outlined policies, must be brought to the attention of the employee's line manager for possible action.

18. Work Safely: Protect Yourself & Your Fellow Employees

AU is committed to providing a drug-free, safe, and healthy work environment. Each employee is responsible for:

- a. Compliance with environmental health, and safety laws, regulations, and related University policies (EHS Policy).
- b. Observing posted warnings and regulations.
- c. Reporting immediately to the appropriate management any accident or injury sustained on the job, or any environmental or safety concern they may have.

19. Anti-Bribery and Corruption

- 1. AU conducts its business in a legal and ethical manner. University officers, employees, other members of the University and any other associated person acting on the University's behalf are responsible for acting honestly and with integrity by ensuring that their activities, interests and behaviors do not conflict with these obligations, regardless of their seniority. Employees must understand and strictly comply with all UAE legislations including but not limited to the UAE Labor law and its amendments. This requires that all employees shall not either directly or indirectly:
 - a. Offer, give, solicit or accept any bribe, either in cash or any other form of inducement, to or from any person or company, wherever they are located and whether they are a public official or body, or private person or company.
 - b. Gain or retain any commercial, contractual or regulatory advantage through unethical or illegal means when conducting business on behalf of the University or its subsidiaries.
- 2. This applies to all of the University's activities and operations and to all of its dealings and negotiations with any person including third parties in all countries in which its employees, agents, partners and associates operate. All employees and individuals working on behalf of, under contract from or in collaboration with any part of the University or with its employees are required to comply with this policy.
- 3. The University has a zero-tolerance approach to bribery and corruption and as such, all forms of bribery and corruption are prohibited. A bribe does not actually have to take place – just promising to give or agreeing to receive a bribe is prohibited. The University will address risks of bribery by ensuring adequate and proportionate measures are developed and implemented to mitigate them.
- 4. The University will not engage, or continue business with, any individual or third party who we know or reasonably suspect of engaging in bribery or corruption.
- 5. No employee or associated person will suffer penalty or other adverse consequences for refusing to pay bribes even if a refusal may result in loss of business or a delay in proceedings.



The prevention, detection and reporting of bribery are the responsibility of all employees. They should raise any concerns or allegations of bribery or corrupt activity to their line manager or report any such concerns to AU Cabinet members.

6. The University will ensure it takes appropriate action in response to any reported incidents of bribery or corruption. Failure to comply with this policy will lead to disciplinary action and proven allegations will lead to disciplinary action resulting in dismissal. In relevant cases, the police will be informed as certain offences carry criminal liability for individuals concerned and sanctions include significant fines and/or imprisonment.

20. Miscellaneous

1. This policy supersedes any other old related policies, procedures, minutes of meeting, manuals, handbooks, and bylaws.
2. The Office of Human Resources is responsible for handling any issues that might arise and are not covered in this policy, and raise recommendations for the Chief Operating Officer's final discretion.
3. In case of conflict between the Arabic and English versions of the Policy, the English one prevails.
4. In case of conflict between the contract and the Policy, the employment contract prevails.
5. Any exceptions to this policy must be well justified and raised to the Chancellor for a final decision.

ANNEXURE A: HARASSMENT DEFINED

A broad definition of sexual harassment consists of any physical or verbal behavior and any form of communication that has unnecessary, improper or unwelcome sexual implications. Sexual harassment may vary in form depending on circumstances. It may consist of, but not be limited to, any of the following:

- Unwelcome sexual advances, requests for sexual favors, display of sexual visuals, sexual audios, pornographic or obscene material and any other verbal or physical conduct of a sexual nature.
- Transmitting any message, by mail, telephone/mobile, email, etc., which is obscene, lewd, suggestive or blatantly sexual in nature.
- Any explicit or implicit communication wherein a sexual favor or demand, whether by words or actions, is made a condition for an individual's employment, career progress, promotion, etc., thereby creating a hostile environment.
- Jokes or remarks and behavior which have sexually oriented innuendoes.
- Consistent pattern of unnecessary physical contact, staring or targeting unreasonable attention at an individual in day to day dealings.
- Any pervasive pattern of behavior which makes employees uncomfortable, insecure or feel humiliated or disadvantaged on the basis of gender differentiation.
- Harassment other than sexual harassment, are verbal or physical conduct that denigrates or shows hostility or aversion to an employee because of gender, race, color, religion, age, national origin, political views, disability, marital status or any basis prohibited by law when such conduct has the purpose or effect of unreasonably interfering with an employee's work performance, creating and intimidating, hostile, or offensive work environment, or otherwise adversely affects an individual's employment opportunities.
- Harassment may include, but is not limited to, verbal abuse, ridicule, including slurs, epithets, and stereotyping, offensive jokes and comments; threatening, intimidating, or hostile acts; and displaying or distributing offensive materials, writings or pictures.
- As mentioned above, this is an indicative but not an exhaustive list of possible forms of harassment.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	15/09/2013	Policy set-up to meet CAA requirement	Human Resources Director
V 2.0	27/07/2017	New policy with giving clearer direction and guidance	Human Resources Manager
V2.1	01/09/2021	Inclusion of Anti-Bribery and Corruption section	Human Resources Manager
V2.2	18/05/2023	Inclusion of Anti-Bribery and Corruption section	Human Resources Manager

Virtual Meetings Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chancellor	Effective Date	Nov. 2021
		Next Review Date	Nov. 2024

Purpose

This policy aims to formalize the guidelines, rules, and protocols that must be followed during virtual meetings in order to improve the professional working environment and ensure effective collaboration among various stakeholders.

Scope

This policy applies to all virtual business meetings that include members of the AU Community, whether internal or external stakeholders.

Statement

To ensure that virtual meetings are used as an effective collaboration tool among various AU stakeholders, all participants must adhere to certain guidelines, protocols, rules and procedures before, during, and after all virtual meetings.

Procedures

The virtual meeting procedures include the following:

A. Preparations for the Meeting:

In order to prepare for the meeting, the meeting host/organizer must arrange the following:

1. Meeting attendees are invited to sign up for a calendar event.
2. Provide a link to the meeting through the online meeting platform (i.e. Zoom, Microsoft Teams).
3. The ID and passcode for the meeting (if required).
4. Agenda, purpose of the meeting and main discussion topic(s).

B. During the Virtual Meeting:

1. Attendees should make sure they have a clean and work-appropriate background in order to stay focused and avoid distracting others.
2. Attendees are expected to follow the official dress code during virtual meetings, just as they would during face-to-face meetings.
3. Attendees must secure a private meeting location that supports the privacy of any confidential information that may be discussed during the meeting.
4. If there is a background noise during the meeting, the attendee should mute her/his microphone until the situation is resolved.
5. In all cases, attendees must mute their microphones during the meeting unless they are required to speak, answer a question, or start a discussion as outlined in the meeting agenda.
6. Attendees should avoid interrupting the speaker. They should find an appropriate time to participate in the discussion.



7. In order to maintain an effective discussion, attendees should limit distractions during the meeting, such as interacting with others, handling other work duties, or making phone calls.
8. If an attendee needs to make or respond to an important phone call or other important matter, she/he should notify others, preferably through the chat box to avoid interrupting the discussion, and make sure the microphone is muted.
9. If attendees are located in a shared office/workstation area, they must use headsets or earphones to avoid disturbing their coworkers. This will also improve sound quality while maintaining confidentiality.

C. Use of Web Cameras:

1. All attendees are required to turn on their web cameras for the duration of the meeting, whether they are on campus or remotely. However, an exception can be given by the meeting host.
2. When attending a meeting while on official leave, an attendee has the option to turn off the camera.
3. The camera can be turned off by a virtual meeting organizer/rapporteur who is not directly involved in the discussions.
4. To ensure effective interaction with others during the meeting, attendees should position their web cameras at eye level.

D. Recording of Virtual Meetings:

The recording feature of virtual meetings can be used to keep a useful reference for official discussions, actions, and deadlines, as well as to allow authorized persons who were unable to attend the meeting to watch the recording later. It can also assist the meeting organizer/rapporteur in writing meeting minutes. However, certain rules must be followed when using this feature:

1. Meetings may not be recorded on any digital device unless the attendees are notified and their consent is obtained prior to the recording.
2. When enabling the recording feature or joining the meeting, each participant usually receives an automatic recording notification. If this is not technically possible, the meeting organizer/host must notify all attendees before turning on the recording feature.
3. Attendees who have a valid reason not to use the recording feature, or who do not accept it may choose to leave the meeting.
4. The recording shall be kept solely by the meeting host.
5. After clarifying the need, any meeting participant has the right to request access to the recording from the meeting host. The meeting host may deny the request if it is not reasonably justified.
6. The recordings are only used for official purposes.
7. It is strictly not allowed to share the recordings with unauthorized individuals. In addition, attendees are strictly not allowed to take photos or record videos using any personal device during the virtual meeting. This may result in disciplinary action being taken against the employee in accordance with the applicable policies and procedures.

E. General Considerations:

1. Meetings should be brief and focused on the main points of discussion. The meeting host should manage time effectively to avoid exceeding the meeting's scheduled duration, which may interfere with other attendees' scheduled commitments.
2. Attendees should be given clear instructions on how to join the meeting, such as the weblink and any access codes that may be required. The meeting organizer must provide these details in advance to all attendees.

3. If the meeting will have several discussion topics, the agenda should be distributed along with the meeting invitation.
4. Actions, deadlines, and responsible parties should all be specified.
5. While it is difficult to simply listen online for an extended period of time, the meeting host is expected to engage attendees on a regular basis by encouraging feedback, asking questions, or using other tools such as chat or polls.
6. When there are a large number of people present, it is preferable to use the hands up or chat features to organize who speaks next and allow everyone to contribute.
7. In the event of poor connectivity or other technical issues, the meeting host will decide whether to continue the meeting or exit/postpone it.
8. Meetings where important topics are discussed, actions and deadlines may be required; minutes of meeting shall be produced and distributed to all attendees following the meeting.
9. It is strongly advised to keep minutes of all meetings for official use and future reference.

Miscellaneous

- a. This policy supersedes any previous related policies, procedures, minutes of the meeting, manuals, handbooks, and bylaws.
- b. The Office of HR is responsible for handling any issues that might arise and are not covered in this policy, and raise recommendations through the Office of Chief Operating Officer for the Chancellor's final discretion.
- c. Any exceptions to this policy must be well justified and sent to the Chancellor for a final decision.
- d. Ajman University reserves the right to make changes to its policies at any time and for any reason.
- e. The updated policy will be deemed to have been delivered, received, and known by all employees one day after posting the updated policy on the website or circulating the updated version by email.
- f. All employees shall comply with the updated Policy since its effective date.

Effective Date

This policy shall be in effect as of November 1st, 2021.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	01/09/2020	New policy	Human Resources Manager/ COO

Policy on Diversity and Inclusion

Policy Owner	Office of the Chancellor	Responsible Office	Office of the Chancellor
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2023

Purpose

Ajman University, in keeping with its values and traditions is committed to promoting diversity, equity and inclusion to all members of its community.

Scope

This policy applies to all members of AU community including administrators, faculty, staff and students.

Statement

Ajman University (AU) embraces shared governance and tolerance, promotes diversity and recognizes its responsibility to foster an open, welcoming environment where multicultural students, faculty and staff can collaboratively learn, work, serve and engage with the external community. AU values and takes pride of the academic, social, and broader community benefits that arise from cultural diversity and are committed to greater equity, inclusion and accountability. Diversity cultivates AU community and is a vital component that drives institutional success and fulfillment of the University's mission and core values. We commit to engaging in ongoing efforts to thoughtfully adapt to the changing realities of our increasingly interconnected world. Continuously, AU endeavors to work together to address the challenges of the future by eliminating barriers to success and promoting a culture of compassion, inclusivity and mutual respect. The proficiencies gained through diverse experiences prepare students, faculty and staff to personally and professionally thrive as global citizens.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	07/10/2020	New policy	The Cabinet

Faculty Grievance and Appeal Policy

Policy Owner(s)	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	May 2023
		Next Review Date	May 2026

1. Introduction

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 efficiently and effectively, without any harassment or problems. However, as is natural, disputes may arise from time to time. In such a case, AU faculty may exercise their right to file a complaint or submit a grievance.

2. Definitions

Complaint: The subject of a complaint is normally an action, decision or omission within the control or responsibility of the University's faculty, professional staff or administrator that causes a faculty to feel that policies have been incorrectly interpreted or applied. A complaint is often resolved informally or through mediation.

Grievance: A grievance is normally an allegation based on specific facts that there has been a misinterpretation, discriminatory application, or violation of University Policies and Procedures, including the Non-Discrimination Policy and rights and provisions stated in the Faculty Manual. It may also be a complaint that failed to reach resolution after informal processes have been attempted.

Appeal: A written application by a grievant requesting a review of a decision made in a grievance case. An appeal may be upheld or dismissed in part or in whole or a new determination made.

3. Scope

This policy applies to complaints, grievances and appeals that are not related to faculty performance evaluation, promotion employment-related legal issues, and disciplinary matters. In such cases, the faculty member shall refer to the Faculty Performance Evaluation Policy, Faculty Promotion Policy, Faculty and Professional Staff Employment Legal Issues Policy, and Faculty Disciplinary Policy.

4. Purpose

- To make faculty members aware of their right to file a complaint or 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 submitting a grievance and how it will be processed by the Faculty Grievance Committee (FGC) of AU.
- To explain the right of appeal for requesting a review of a decision made by an official of the University.

5.1 Policy Statement

Complaint

If a dispute is not resolved between the concerned parties, it may be useful for the faculty member to discuss the matter with the concerned Department Chair, Dean or administrator. At any stage after a complaint has been raised, either the faculty member or the Chair/Dean may propose to resolve the complaint informally. Mediation may also be an option.

Grievance

A faculty member is entitled to formally submit a grievance to the Chair of the Faculty Grievance Committee (FGC) of AU, via the Online Request System (ORS), if a dispute between the faculty member and an administrator or other individual(s) at the University could not be resolved 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, or some other provisions. The Faculty Grievance Committee (FGC) shall determine if the grievant has been 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 Vice-Chancellor of Academic Affairs (VCAA) 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 membership of FGC shall include the following:

- Chair of the FGC Committee
- Two faculty members
- Two members of the administrative staff

FGC Terms of Reference:

- Faculty members on this committee shall hold full-time faculty appointments.
- The administrative member shall hold continuing (regular) employed positions.
- The appointment of the FGC membership will be for a two-year term of office.
- The FGC reports to the Vice-Chancellor of Academic Affairs (VCAA).

The duties of the Chairperson of FGC shall include the following:

- Receive the grievance submitted on ORS.
- 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 in ORS.
- Submit the findings of FGC and its recommendations to the VCAA through ORS.
- Inform the concerned parties about the decision taken by the VCAA.
- Submit an FGC Standing Committee Annual Report to the VCAA, using its template available with the Office of Institutional Planning and Effectiveness (OIPE).

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. There shall be no direct confrontation between the grievant and respondent.
- Ensuring that fair and proper procedures are followed.
- 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 meetings of 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 violation of his/her rights as stipulated in published documents, including the Faculty Manual. The formal grievance shall be submitted via Online Request System (ORS).

In submitting the grievance, the grievant must provide the following information through ORS:

- 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 Chair/Dean about it, and why he/she is not satisfied with the solution, if any, achieved by the Chair/Dean. If the Chair/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.

Following the submission on ORS:

- 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, via ORS, 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 VCAA and the concerned parties shall be informed through ORS 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 VCAA 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 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 recommendation. At the completion of the hearing, the FGC members will deliberate and reach a recommendation by majority vote. In cases of equal voting, the Chairperson's side shall prevail. The meeting shall only be valid with the presence of the majority of the members. The Committee's meetings shall be chaired by the Chairperson or an acting Chairperson, chosen by the FGC members, in the absence of the Chairperson. Within one week of the recommendation made by the FGC, the Chairperson shall submit a report on ORS for the VCAA 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 VCAA makes the decision. In addition, the report of the FGC may not be used as evidence by either party in a related legal action. After the VCAA has made a decision, the Office of the VCAA shall inform the concerned parties about the decision.

Appeals

A faculty member can file a written appeal to the Chancellor, requesting a review of the decision concerning his/her grievance in a letter addressed to him. The faculty member shall submit the letter within a maximum of 7 working days of his/her being notified of the decision, in writing, as per the academic calendar, otherwise the VCAA's decision shall be final and enforceable.

The appeal shall only be accepted on procedural grounds if it is lodged within the legal deadline and the appellant proves one or more of the following:

- Failure to observe the procedures provided for in this policy.
- Emergence of previously unknown evidence which might have influenced the decision.

If the Chancellor accepts the appeal on procedural grounds, he shall refer the case to a different ad hoc committee for re-consideration.

The Chancellor's decision might not match the recommendation of the Committee for a justified reason. His decision is final.

The appellant shall be informed about the final decision made by the Office of the Chancellor.

Miscellaneous

1. This policy supersedes any other old related policies, procedures, minutes of meeting, manuals, handbooks, and bylaws.
2. The VCAA is responsible for handling any issues that might arise and are not covered in this policy, and raise recommendations for the Chancellor's final discretion.
3. In case of conflict between the Arabic and English versions of the Policy, the English one prevails.
4. Any exceptions to this policy must be well justified and raised to the Chancellor for a final decision.

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 FGC and clear appeal procedure and decisions	Vice Chancellor for Academic Affairs
V 1.4	24/06/2022	The policy has been reviewed and there are no changes made.	Vice Chancellor for Academic Affairs
V 1.5	03/05/2023	Added the definitions, clarified the scope of the policy and improved the implementation procedure.	Vice Chancellor for Academic Affairs

6. Students



جامعة عجمان
AJMAN UNIVERSITY

Undergraduate Admission Policy

Policy Owner	Vice Chancellor for Communication and Community Affairs	Responsible Office	Unit of Student Recruitment and Admissions
Approved By	Chancellor	Effective Date	Mar. 2023
		Next Review Date	Mar. 2026

Purpose

This document sets out the University's policy on admissions to accredited undergraduate degree programs, and is applied by the Unit of Student Recruitment and Admissions. AU does not discriminate in recruitment and admissions on the basis of ethnicity, religion, disability, immigration status, gender or other such considerations.

Definitions

University: Ajman University.

Admissions Period: The period during which applicants can submit their admission application to the Unit of Student Recruitment and Admissions.

Application Type: Admission application category, whether undergraduate, graduate, or transfer.

Application Status: An application that is not marked as "Cancelled", "Expired", "Enrolled", "Rejected", or "Declined".

Admissions Offer Letter: A letter issued by the Unit of Student Recruitment and Admissions and sent to the applicant notifying him/her that he/she has been admitted to the programs he/she has applied for.

Application Rejection Letter: A letter issued by the Unit of Student Recruitment and Admissions 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 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.

System of Education and Programs Offered

Table 1: Accredited Degree Undergraduate Programs Offered

College of Dentistry كلية طب الأسنان

Degrees offered/Concentration /الدرجات العلمية المطروحة/ التخصصات	Years of Study /مدة الدراسة	Total Cr. Hrs. /الساعات المعتمدة	Certificate and percentage required for admission /الشهادة والنسبة المطلوبة للالتحاق	متطلبات اضافيه / additional requirements
Bachelor of Dental Surgery بكالوريوس في جراحة الأسنان	5	201	Grade 12- MOE – (85%) Advanced Track, (80%) Elite Track or its equivalent الصف الثاني عشر – وزارة التربية والتعليم – معدل (85%) مسار متقدم، معدل (80%) مسار النخبة أو ما يعادله	EmSAT requirements: EmSAT English (1100) or its equivalent. EmSAT Arabic (800) EmSAT Mathematics (900) or SAT 1 (Math) 500. EmSAT score of 900 in two of the three science subjects of (Chemistry, Biology or Physics) International Students: EmSAT Arabic alternative: Register for a non-credited Basic Arabic Language course at AU EmSAT Sciences Alternative: The applicant must pass the admission exam which will be set up by the college). Passing a personal interview. متطلبات الامسات: امسات في اللغة الإنجليزية بدرجة (1100) أو ما يعادله. امسات في اللغة العربية بدرجة (800). امسات في الرياضيات بدرجة (900)، أو SAT 1 (Math) 500. امسات في مادتين من المواد التالية (الكيمياء، الفيزياء، أو الاحياء) بدرجة (900). الطلاب الدوليين: بدل امسات في اللغة العربية: ستقدم جامعة دورة تأسيسية في اللغة العربية. بدل امسات المواد العلمية: يجب على المتقدم اجتياز اختبار القبول الذي ستعده الكلية. اجتياز المقابلة الشخصية.



كلية الطب College of Medicine

Degrees offered/Concentration الدرجات العلمية المطروحة/ التخصصات	Years of Study مدة الدراسة	Total Cr. Hrs. الساعات المعتمدة	Certificate and percentage required for admission الشهادة والنسبة المطلوبة للالتحاق
Doctor of Medicine (MD) دكتور في الطب	6	226	See Table 3

College of Pharmacy & Health Sciences كلية الصيدلة والعلوم الصحية

Degrees offered/Concentration /الدرجات العلمية المطروحة/ التخصصات	Years of Study /مدة الدراسة	Total Cr.Hrs. /الساعات المعتمدة	Certificate and percentage required for admission /الشهادة والنسبة المطلوبة للالتحاق	متطلبات اضافية/ additional requirements
Bachelor of Pharmacy الصيدلة بكالوريوس	4.5	160	Grade 12- MOE – (85%) Advanced Track, (80%) Elite Track or its equivalent الصف الثاني عشر – وزارة التربية والتعليم – معدل (85%) مسار متقدم, معدل (80%) مسار النخبة أو ما يعادله .	EmSAT requirements: EmSAT English (1100) or its equivalent. EmSAT Arabic (800) EmSAT Mathematics (900) or SAT 1 (Math) 500. EmSAT score of 900 in two of the three science subjects of (Chemistry, Biology or Physics) International Students: EmSAT Arabic alternative: Register for a non-credited Basic Arabic Language course at AU EmSAT Sciences Alternative: The applicant must pass the admission exam which will be set up by the college). Passing a personal interview. متطلبات الامسات: امسات في اللغة الإنجليزية بدرجة (1100) أو ما يعادله. امسات في اللغة العربية بدرجة (800). امسات في الرياضيات بدرجة (900)، أو SAT 1 (Math) 500. امسات في مادتين من المواد التالية (الكيمياء، الفيزياء، أو الاحياء) بدرجة (900). الطلاب الدوليين: بدل امسات في اللغة العربية: ستقدم جامعة دورة تأسيسية في اللغة العربية. بدل امسات المواد العلمية: يجب على المتقدم اجتياز اختبار القبول الذي ستعده الكلية. اجتياز المقابلة الشخصية.



كلية الهندسة وتكنولوجيا المعلومات College of Engineering & Information Technology

Degrees offered/Concentration الدرجات العلمية المطروحة/ التخصصات	Years of Study مدة الدراسة	Total Cr.Hrs. الساعات المعتمدة	Certificate and percentage required for admission الشهادة والنسبة المطلوبة للالتحاق	متطلبات اضافية/ additional requirements
B. Sc. in Electrical Engineering / Instrumentation and Control بكالوريوس العلوم في الهندسة الكهربائية/ أجهزة القياس والتحكم	4	142	Grade 12- MOE – (75%) Elite Track, (80%) Advanced Track الصف الثاني عشر - وزارة التربية و التعليم - معدل (75%) مسار النخبة، معدل (80%) مسار متقدم أو ما يعادله .	EmSAT requirements: EmSAT English (1100) or its equivalent. EmSAT Arabic (600) EmSAT Mathematics (900) or SAT 1 (Math) 500. EmSAT Physics (800). International Students: EmSAT Arabic alternative: Register for a non-credited Basic Arabic Language course at AU EmSAT Math and Physics Alternative: The applicant must pass the admission exam which will be set up by the college). متطلبات الامسات: امسات في اللغة الإنجليزية بدرجة (1100) أو ما يعادله. امسات في اللغة العربية بدرجة (600). امسات في الرياضيات بدرجة (900)، أو SAT 1 (Math) 500. امسات في الفيزياء بدرجة (800). الطلاب الدوليين: بدل امسات في اللغة العربية: ستقدم جامعة دورة تأسيسية في اللغة العربية. بدل امسات الرياضيات والفيزياء: يجب على المتقدم اجتياز اختبار القبول الذي ستعده الكلية.
B. Sc. in Electrical Engineering/ Electronics and Communication بكالوريوس العلوم في الهندسة الكهربائية/ الإلكترونيات و الاتصالات				
B. Sc. in Electrical Engineering/ Power and renewable Energy بكالوريوس العلوم في الهندسة القوى والطاقة المتجددة/الكهربائية				
B. Sc. in Biomedical Engineering بكالوريوس العلوم في هندسة المعدات الطبية	4	141		
B. Sc. in Computer Engineering بكالوريوس العلوم في هندسة الحاسوب	4	140		
B. Sc. in Civil Engineering بكالوريوس العلوم في الهندسة المدنية	4	141		
B. Sc. in Mechanical Engineering بكالوريوس العلوم في الهندسة الميكانيكية	4	141		
B. Sc. in Information Systems\ Project Management بكالوريوس العلوم في نظم المعلومات إدارة مشاريع	4	123	Grade 12- MOE – (60%) Elite Track & Advanced Track - (70%) General Track – or its equivalent	EmSAT requirements: EmSAT English (1100) or its equivalent.

B. Sc. in Information Systems\ E-Business Management بكالوريوس العلوم في نظم المعلومات /إدارة مشاريع إلكترونية			الصف الثاني عشر – وزارة التربية والتعليم - (60%) مسار النخبة والمسار المتقدم، (70%) مسار عام –أو ما يعادله	متطلبات الامسات: امسات في اللغة الإنجليزية بدرجة (1100) أو ما يعادله.
B. Sc. in Information Technology/ Networking and Security بكالوريوس العلوم في تكنولوجيا الشبكات وأمن المعلومات /المعلومات	4	123	Grade 12- MOE –(60%) Elite Track, (70%) Advanced Track, (80%) General Track or its equivalent	
Bachelor of Science in Data Analytics بكالوريوس العلوم في تحليل البيانات	4		الصف الثاني عشر – وزارة التربية والتعليم - (60%) مسار النخبة، (70%) مسار متقدم، (80%) مسار عام – أو ما يعادله	

كلية العمارة والفنون والتصميم College of Architecture, Art and Design

Degrees offered/Concentration /الدرجات العلمية المطروحة/ التخصصات	Years of Study /مدة الدراسة	Total Cr. Hrs. /الساعات المعتمدة	Certificate and percentage required for admission /الشهادة والنسبة المطلوبة للالتحاق	متطلبات اضافيه / additional requirements
Bachelor of Architecture بكالوريوس في العمارة	5	159	Grade 12- MOE –(65%) Elite Track, (70%) Advanced Track, (80%) General Track. Industrial Stream with minimum score of (80%). الصف الثاني عشر – وزارة التربية والتعليم (65%) مسار النخبة، (70%) مسار متقدم، (80%) مسار عام -المسار الصناعي بمعدل لا يقل عن (80%). أو ما يعادله	EmSAT requirements: EmSAT English (1100) or its equivalent.
Bachelor of Interior Design بكالوريوس التصميم الداخلي	4	125	Grade 12- MOE – (60%) in Elite Track, Advanced Track& General Track and Industrial Stream. or its equivalent. الصف الثاني عشر - وزارة التربية والتعليم - معدل (60%) مسار النخبة التعليم والمسار المتقدم والمسار العام والمسار الصناعي أو ما يعادله.. ام-	متطلبات الامسات: امسات في اللغة الإنجليزية بدرجة (1100) أو ما يعادله.



كلية إدارة الأعمال College of Business Administration

Degrees offered/Concentration /الدرجات العلمية المطروحة/ التخصصات	Years of Study /مدة الدراسة	Total Cr. Hrs. /الساعات المعتمدة	Certificate and percentage required for admission /الشهادة والنسبة المطلوبة للالتحاق	متطلبات اضافية/ additional requirements
B. Sc. in Management بكالوريوس العلوم في الإدارة	4	126		EmSAT requirements: EmSAT English (1100) or its equivalent. EmSAT Arabic (600) EmSAT Mathematics (600) or SAT 1 (Math) 500. Pass the personal interview International Students: EmSAT Arabic alternative: Register for a non-credited Basic Arabic Language course at AU EmSAT Math Alternative: The applicant must pass the admission exam which will be set up by the college). Pass the personal interview
B. Sc. in Marketing بكالوريوس العلوم في التسويق	4	126		
B. Sc. in Finance بكالوريوس العلوم في التمويل	4	126		
B. Sc. in Accounting بكالوريوس العلوم في المحاسبة	4	126	Grade 12- MOE – (70%) in Elite Track, Advanced Track Or (75%) General Track. or its equivalent الصف الثاني عشر – وزارة التربية والتعليم معدل (70%) مسار النخبة والمسار المتقدم أو (75%) للمسار العام. أو ما يعادله	متطلبات الامسات: امسات في اللغة الإنجليزية بدرجة (1100) أو ما يعادله. امسات في اللغة العربية بدرجة (600). امسات في الرياضيات بدرجة (600)، أو SAT 1 (Math) 500. اجتياز المقابلة الشخصية الطلاب الدوليين: بدل امسات في اللغة العربية: ستقدم جامعة دورة تأسيسية في اللغة العربية. بدل امسات الرياضيات: يجب على المتقدم اجتياز اختبار القبول الذي ستعده الكلية. اجتياز المقابلة الشخصية

كلية الإنسانيات والعلوم College of Humanities & Sciences

Degrees offered/Concentration الدرجات العلمية المطروحة/ التخصصات	Years of Study مدة الدراسة	Total Cr. Hrs. الساعات المعتمدة	Certificate and percentage required for admission الشهادة والنسبة المطلوبة للالتحاق	متطلبات اضافية/ additional requirements
B. A. in Sociology and Social Work بكالوريوس الآداب في علم الاجتماع والخدمة الاجتماعية	4	126	Grade 12- MOE – (60%) in Elite Track, Advanced Track and General Track or its equivalent. . الصف الثاني عشر – وزارة التربية والتعليم - معدل (60%) والمسار المتقدم مسار النخبة والمسار العام أو ما يعادله.	<u>EmSAT requirements:</u> EmSAT English (950) or its equivalent. EmSAT Arabic (1000)
B. A. in Psychology بكالوريوس الآداب في علم النفس	4	126		<u>متطلبات الامسات:</u> امسات في اللغة الإنجليزية بدرجة (950) أو ما يعادله. امسات في اللغة العربية بدرجة (1000).

كلية الإعلام College of Mass Communication

Degrees offered/Concentration الدرجات العلمية المطروحة/ التخصصات	Years of Study مدة الدراسة	Total Cr. Hrs. الساعات المعتمدة	Certificate and percentage required for admission الشهادة والنسبة المطلوبة للالتحاق	متطلبات اضافية/ additional requirements
B. A. in Mass Communication - Integrated Marketing Communications بكالوريوس في الإعلام الاتصالات التسويقية المتكاملة	4	126	Grade 12- MOE – (60%) in Elite Track, Advanced Track and General Track or its equivalent.. . الصف الثاني عشر – وزارة التربية والتعليم - معدل (60%) والمسار المتقدم النخبة والمسار العام أو ما يعادله.	<u>EmSAT requirements:</u> EmSAT English (950) or its equivalent. EmSAT Arabic (1000)
B. A. in Mass Communication - Radio and Television Production بكالوريوس في الإعلام- الإنتاج الإذاعي والتلفزيوني				<u>متطلبات الامسات:</u> امسات في اللغة الإنجليزية بدرجة (950) أو ما يعادله. امسات في اللغة العربية بدرجة (1000).
B. A. in Mass Communication - Graphic Design for Media بكالوريوس في الإعلام- ، التصميم الجرافيكي للإعلام				



كلية القانون College of Law

Degrees offered/Concentration /الدرجات العلمية المطروحة/ التخصصات	Years of Study /مدة الدراسة	Total Cr. Hrs. /الساعات المعتمدة	Certificate and percentage required for admission /الشهادة والنسبة المطلوبة للالتحاق	متطلبات اضافية/ additional requirements
Bachelor of Law بكالوريوس في القانون	4	132	Grade 12- MOE – (75%) in Elite Track, (80%) Advanced Track, and (85%) General Track or its equivalent. الصف الثاني عشر – وزارة التربية والتعليم - معدل (75%) مسار النخبة, (80%) مسار متقدم, (85%) مسار عام أو ما يعادله.	EmSAT requirements: EmSAT English (950) or its equivalent. EmSAT Arabic (1000) EmSAT Mathematics (800) or SAT 1 (Math) 500. Pass the personal interview International Students: EmSAT Math Alternative: The applicant must pass the admission exam which will be set up by the college). Pass the personal interview متطلبات الامسات: امسات في اللغة الإنجليزية بدرجة (950) أو ما يعادله. امسات في اللغة العربية بدرجة (1000). امسات في الرياضيات بدرجة (800)، أو SAT 1 (Math) 500. اجتياز المقابلة الشخصية الطلاب الدوليين: بدل امسات الرياضيات: يجب على المتقدم اجتياز اختبار القبول الذي ستعده الكلية. اجتياز المقابلة الشخصية

Table 2: Minor Programs offered by the Colleges

College	Program	Eligible Students (Major Programs)
Engineering and Information Technology الهندسة وتكنولوجيا المعلومات	Electrical Engineering	Biomedical Engineering
		Computer Engineering
	Biomedical Engineering	Electrical Engineering
		Computer Engineering
	Information Systems	All programs at AU other than programs of Computer Engineering, Information Technology and Information Systems programs

	Web Development	All programs at AU other than programs of Computer Engineering, Information Technology and Information Systems programs
	Information Technology	All programs at AU other than programs of Computer Engineering, Information Technology and Information Systems programs
	Computer Science	All programs at AU other than programs offered by the Department of Information Technology
	Networking and Security	All major in an engineering discipline except Computer Engineering
Business Administration الأعمال إدارة	Accounting	College of Business Administration
		Information Technology programs
		Information Systems programs
	Marketing	College of Business Administration
		Pharmacy
	Management	College of Business Administration
		College of Engineering & IT
		Pharmacy
		Architecture
	Finance	College of Business Administration

Notes:

- 1- The decision to admit a student is made on a competitive basis, considering the number of available seats as determined by the individual college and the applicant's final secondary school examination score.
- 2- Applications made by holders of foreign secondary school certificates will be considered as per CAA Standards 2019 and Circulars issued by His Excellency the Minister of Education/Higher Education Affairs, UAE, as listed below:

Undergraduate Admissions Requirements for Holders of Foreign Secondary School Certificates (Except for College of Medicine)

- a. Complete at least 12 years of schooling.
- b. Satisfy the minimum High school average required for the program
- c. Islamic education and Arabic language are not counted
- d. English language proficiency

For the programs taught in English required EmSAT English - Achieve – 1100 OR its equivalents except for MD the required score 1400 EmSAT or equivalent .

For the programs taught in Arabic required EmSAT English - Achieve – 950 OR its equivalents.

- e. EmSAT in Arabic Language:
 - A minimum score of 1000 for the programs taught in Arabic.
 - A minimum score of 800 for (MD), (BDS), and Pharmacy programs.



- A minimum score of 600 for Business and Engineering programs.
- Ajman University will provide a Basic Arabic Language Course for international students.
- f. EmSAT score of (800) in Physics or equivalent for Engineering programs.
- g. EmSAT score of (900) in Mathematics and two of the three science subjects of (Chemistry, Biology or Physics) for BDS and Pharmacy programs.
- h. In case the score is not available the applicant must pass the admission exam which will be set up by the college.
 - EmSAT in Mathematics: A minimum score of (900) for Engineering programs, BDS, and Pharmacy programs
 - A minimum score of (600) for Business programs
 - A minimum score of (800) for the Law program
- i. A passing grade in the written test is required prior to eligibility for an interview.
- j. Personal interview- If required
 - American Curriculum is eligible for admission if :
 - The certificate is awarded after at least 12 years of schooling
 - Holder successfully passed the grades (tenth, eleventh, and twelfth). The number of subjects in each grade should be at least five, the minimum score of success in each subject must not be less than (D) or 60%
 - International Diploma
 - The certificate is awarded after at least 12 years of schooling
 - The student must pass one of the two tracks:

First track:

Successful completion of the IB Diploma (Islamic education should not be counted among the subjects required for obtaining the Diploma).

Second Track:

The student must pass six IB subjects according to the following conditions

- The grade of any subject shall not be less than three
- The total number of points must not be less than 21
- The six subjects completed by the student in the IB should cover subjects of (English, mathematics, and one subject of sciences) at the SL or HL
- Islamic education should not be counted among the six subjects required for equivalency.

➤ **Holders of British System Certificates (IGCSE, GCSE, GCE)**

A holder of a British system certificate is eligible for admission if:

- Has completed 12 years (Year 13/Grade 12) of study by the time she/he has finished secondary education and must provide proof thereof.
- The highest 7 grades obtained will be considered as follows:
- A minimum grade of E in 5 O-Level subjects, and a minimum grade of D in 2 AS/A-Level subjects (Islamic education and Arabic language are not counted).
- For an applicant to be considered as a graduate of the Advanced Track in secondary education she/he must have successfully studied at least 2 Science and one Mathematics subject at O-Level and AS/A-Level.

➤ **Holders a certificate of one of French-Patterned Educational Systems as Lebanese, Moroccan, Tunisian, Algerian, French.**

A holder of a French certificate is eligible for admission if:

- Has completed 12 years of study by the time she/he has finished secondary education and must provide proof thereof.
- Obtain the French Baccalaureate in any of the three tracks: Literature, Economics & social, or Scientific with a minimum score of 10/20

➤ **Holders of Indian Boards**

- The certificate is awarded after at least 12 years of schooling
- Obtained of Minimum of 45% in the Senior Secondary School Certificate

➤ **Holders of Pakistani Boards**

- The certificate is awarded after at least 12 years of schooling
- Obtained of Minimum of 45% in the Senior Secondary School Certificate

Program Offered

The College offers a highly innovative 6-year full-time program in a 2+4 format that includes two years of premedical education followed by four years of vertically and longitudinally integrated medical education (Pre-clerkships; 2 years) and clinical training (Clerkships; 2 years) leading to the award of the degree of Doctor of Medicine (MD).

Requirements for MD

Admission is open to students from all types of curriculum: UAE National Curriculum, American, British, CBSE (Indian), French, etc.

The criteria for admission are summarized below:

General requirements – all applicants (curriculum-specific requirements are summarized in the table)

- a. Complete at least 12 years of schooling.
- b. EmSAT Arabic Language: A minimum score of 800.
Ajman University will provide a Basic Arabic Language Course for international students.



- c. EmSAT Mathematics: A minimum score of 900
- d. EmSAT Science Subjects: A minimum score of 1100 for any two science subjects (Biology, Chemistry and Physics)
- e. English language proficiency
EmSAT English - Achieve – 1400+ OR IELTS 6.0 (or other accepted equivalents)
- f. Written test (Duration: 1 hr):
Content of assessment includes Biology, Physics, Chemistry and Mathematics (at the level of EmSAT subject tests), and problem-solving.
- g. A passing grade on the written test is required before eligibility for an interview.
- h. Personal interview:

Candidates who fulfil requirements A – G may be shortlisted for a personal interview.

Table 3: Entry Requirements for Ajman University MD Year 1

Curriculum	Entry requirement	Minimum Score/grade
UAE National Curriculum	Grade 12- MOE –Elite Track	85%
	Grade 12- MOE –Advanced Track	90%
	EmSAT English	1400
	EmSAT Arabic	800
	EmSAT Mathematics	900
	EmSAT any two of the three science subjects (Chemistry, Biology or Physics)	1100
American Curriculum	Science Track	90%
	SAT I – Mathematics OR EmSAT - Mathematics	500/800 900
	EmSAT - two of the science subjects (Chemistry, Biology, and Physics) OR	score of 1100 per subject
	SAT 2 - any two of the science subjects (Physics, Chemistry and Biology) OR	550 per subject
	AP any 2 subjects (Chemistry, Biology or Physics)	score of 4 per subject
BRITISH CURRICULUM	Applicant should obtain a 12th-grade report card from the school	-----
	a) IGCSE/GCSE "O" level in four subjects (Chemistry, Biology, Physics and Math)	Four B (5)s
	b) GCSE A/S level in any 2 subjects (Chemistry, Biology, and Physics)	One A (7) and one B (5)s
	Or	
	GCSE A2 level in any 2 subjects (Chemistry, Biology, and Physics)	Two B (5)s
INTERNATIONAL BACCALAUREATE (IB)	A) IB High Level (HL) in 3 subjects (Chemistry, Biology or Physics, or Math)	With scores of 5,4,4
	B) IB Diploma	Total of at least 26
India/Pakistan	Boards (e.g. CBSE)	80%
OTHER CURRICULA	Students from other international systems can submit a document that proves that they have finished 12 years of schooling and have their high school documents' equalization completed in the UAE Ministry of Education	Students will be evaluated based on their performance in high school, equivalent to 90% in the UAE MOE system

Admissions Criteria

AU Academic Council determines the number of students to be admitted to each degree program each semester, according to the university's available resources.

AU's admission policy is non-discriminatory. The decision to admit a student is made on a competitive basis considering the number of available seats as determined by the colleges and the applicant's final secondary school examination score.

Admission on Probation

Admission Categories:

Upon successful completion of the admission process, the student will receive either a conditional or full admission offer issued by the Unit of student recruitment & admissions. In addition, If the student is on one of the following statuses: Provisional, waiting list or rejected he or she will also receive an offer or letter notifying him/her of the application status.

1. Admission offers:

1.1. Full Admission offer:

Students who have met all the general and academic requirements will be granted a full admission offer.

1.2. Conditional Admission offer:

- An applicant who does not meet certain admission requirements may be granted conditional admission. This offer is applicable only for certain programs and certain requirements mentioned in this document.
- Conditionally admitted students are requested to accept the offer and satisfy the requirement within the mentioned deadline which is one semester effective from the date of joining the University.

2. Admission Status:

2.1. Provisional Admission:

- Provisional admitted students are applicants who are temporarily assigned to this status because of admission requirements.
- The provisions will be specified in the offer letter of admission and may include, but are not limited to, a required final high school, EmSAT score, or requiring specific college requirements within a specified deadline mentioned in the offer letter.
- Failure to achieve the requirements within the mentioned deadline in the offer letter will lead to a withdrawal of the offer.
- For certain admission requirements, a provisional offer may be a transition into a conditional offer. (This option is applicable for certain programs and certain requirements only).

2.2. Waiting list:

- The decision to admit a student is made on a competitive basis considering the number of available seats as determined by the colleges and the applicant's final secondary school examination score.
- Waiting-listed applicants will receive email notifications of the waiting list offer and the expected final decision deadline.

- If the applicant wishes to decline the waiting list offers his/her application will be transferred to the next selected academic program if available otherwise the application will be rejected.
- After the final decision deadline, the waiting listed application will be evaluated for the next selected academic program if available otherwise the application will be rejected.

2.3. **Rejected:**

At the initial review of an application, a rejection decision may be recorded for a student. These applicants will be given a reason for the rejection. These cover a wide number of reasons and include:

- Failure to achieve or submit the minimum admission requirements (High school scores, EmSAT requirements, failure in the college admission test. etc.)
- Seats not available.
- Exceeding the time limit for paying seat reservation fees.

Conditional Admission Requirements:

➤ **Equivalency letter:**

- Applicants who graduated from private schools that do not follow the government curriculum and those with high school certificates issued from outside UAE should obtain equivalency for their High School Certificate from the UAE Ministry of Education.
 - ❖ Applicants who have applied for a Certificate of Equivalency but have not concluded the equivalency process by the time of registration will be given a chance to register for one semester effective from the date of Joining the university, provided to present a copy of the MOE Application Receipt.
 - ❖ Those applicants will be conditionally admitted for one semester effective from the admission date, based on the provided offer for the concerned applicant.
 - ❖ The applicant must **accept** the conditional offer to provide the required MOE equivalency letter before the end of the semester.

➤ **EmSAT Arabic:**

- Conditionally admitted students in **programs taught in Arabic Languages**, who have not achieved the required EmSAT Arabic score by the time of registration Will be given a chance to register for one semester effective from the date of Joining the university provided to accept the offer and achieve the required EmSAT Arabic by the end of the semester.
- Conditionally admitted students in **programs taught in English languages**:
 1. For Applicants who graduated from foreign high schools (Ex. GCE, American, CBSE ... etc)) that do not follow the government curriculum are only required to register and pass a non-credit Arabic language course during the first semester.
 2. For Applicants who graduated from high schools that follow the government curriculum will be given a chance to register for one semester effective from the date of Joining the university provided to accept the offer and achieve the required EmSAT Arabic by the end of the semester.

➤ **EmSAT English or its equivalent**

(This Condition is not Applicable to MD, BDS, Pharmacy, and Business students):

Applicants who have not achieved the required EmSAT English score by the time of registration Will be given a chance to register for one semester effective from the date of Joining the university, provided to accept the offer and achieve the required EmSAT English by the end of the semester.

➤ **EmSAT Math (This Condition is not Applicable to MD students):**

Applicants who have not achieved the required EmSAT Math score by the time of registration Will be given a chance to register for one semester effective from the date of Joining the university, provided to accept the offer and achieve the required EmSAT Math by the end of the semester.



- **EmSAT Sciences subjects (This Condition is not Applicable to MD):** Applicants who have not achieved the required EmSAT physics score by the time of registration Will be given a chance to register for one semester effective from the date of Joining the university, provided to accept the offer and achieve the required EmSAT Physics by the end of the semester.
- **Law, Business, Pharmacy Program:**
 - Applicants who have not achieved the required score in EmSAT English score by the time of registration will have an option to change their major and apply for another program.
 - These students must accomplish the EmSAT required scores to be eligible to formally join the college and confirm their major.
- **International Students Conditions:**

Applicants who graduated with high school certificates issued from outside UAE:

EmSAT Arabic:

- Conditionally admitted students in programs taught in the English language, are only required to register, and pass a non-credit Arabic language course during the first semester, provided to accept the offer.
- Conditionally admitted students in programs taught in the Arabic language, will be given a chance to register for one semester effective from the date of Joining the university, provided to accept the offer and achieve the required EmSAT Arabic by the end of the semester.

EmSAT English (This Condition is not Applicable to MD, BDS, Pharmacy, & Business students):

- Applicants who have not achieved the required EmSAT English score by the time of registration Will be given a chance to register for one semester effective from the date of Joining the university, provided to accept the offer and achieve the required EmSAT English by the end of the semester.

EmSAT Math and Sciences subjects

➤ **BDS and Pharmacy:**

- International applicant who graduated from the American curriculum:
They will be asked to achieve the Alternative requirements such as SAT1 -Math with a minimum score of 500 otherwise they must achieve the required score in EmSAT Math.
- International students will not be asked to achieve the EmSAT required scores for (Maths & 2 Sciences), only passing the College admission tests

➤ **MD (Conditional admission is not applicable):**

- International applicant who graduated from the American curriculum:
Will be asked to achieve the Alternative requirements such as SAT1, SAT2, or AB subjects otherwise they must achieve the required scores in EmSAT subjects.
- International applicant who graduated from the GCE, CBSES, Iranian, government curriculum:
Will not be asked to achieve the EmSAT required scores for (Maths & 2 Sciences), only passing the College admission tests.
- other international curriculums: The decision will be based on the college requirements.

➤ **Engineering:**

- International applicant who graduated from the American curriculum:

They will be asked to achieve the Alternative requirements such as SAT1 -Math with a minimum score of 500 otherwise they must achieve the required score in EmSAT Math.

- International students will not be asked to achieve the EmSAT required score for (Maths & Physics), only passing the College admission tests

➤ **Business and Law:**

- International applicant who graduated from the American curriculum:
They will be asked to achieve the Alternative requirements such as SAT1 -Math with a minimum score of 500 otherwise they must achieve the required score in EmSAT Math.
- International students will not be asked to achieve the required EmSAT Math score only bypassing the College admission tests.

➤ **High school average Conditional Admission:**

- 1.1. Applicants with scores are no more than 5 % below the minimum high school average admission requirement only for the below-mentioned programs, for which the MOE has no specified acceptance averages, and the minimum required high school average is not less than 60%.

This condition is only applicable in the following programs with the below-mentioned average.

Program	Minimum Score / Grade	Conditional Minimum Score / Grade
Information Technology	Advance Score of 70%. General Score of 80%.	Advance Score of 66%. General Score of 76%.
Architecture		

- Those applicants will be admitted conditionally provided to accept the offer and achieve a minimum GPA of 2.5 by the end of the first semester, it is noteworthy that failure to achieve the required GPA student will be dismissed from the program.

- 1.2. Applicants who graduated before AY 2002/2003 with a passing percentage below 60% may be admitted into the following programs provided to fulfill the below-mentioned requirements:

Program	EmSAT Arabic	EmSAT English	EmSAT Math
Information System	600	1100	500
Interior Design			
Mass Communication programs	1000	950	
Sociology and Social Work			
Psychology			

- Applicants who have not achieved the above-mentioned required EmSAT score by the time of registration will be given a chance to register one semester effective from the date of Joining the university, provided to accept the conditional offer into a (Remedial) Program and register for the relevant remedial courses(s).
- These students must accomplish the EmSAT required scores to be eligible to formally join the college and confirm their major.

➤ **Credit load for conditional:**

The study load of conditionally admitted students is restricted in the following listed colleges:



- * Engineering & Information Technology.
 - * Business Administration
 - * Law
 - * Architecture, Art, and Design
 - * Humanities and Sciences
 - * Mass Communication
- Conditionally admitted applicants will be allowed to register for general courses with a maximum of 12 credit hours during the first semester.

Terms and Conditions:

- ❖ The University reserves the right to make the appropriate decision, and the conditionally admitted students do not have the right to object to the decision.
- ❖ Conditionally admitted students clear the liability of Ajman University and its employees from any right or claim of any kind.
- ❖ The University reserves the right to withdraw an application or an offer at any point in the admissions process or refer cases for further investigation. This includes if any part of the application is falsified or plagiarized, or if the applicant fails to provide the required information or documentation within the requested timeframe. Where an offer is withdrawn due to falsified documentation or information, there will be no refund of any monies paid to the University.

English Language Proficiency

Full admission to programs where the medium of instruction is English are given only to applicants with EmSAT Achieve English 1100, a score of at least 500 in the TOEFL (paper-based test), 61 in TOEFL (iBT), Computer Based Test (CBT) 173, Band 5 in IELTS (Academic).except for MD the required score 1400 EmSAT or equivalent.

Full admission to programs were taught in Arabic 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).

Institutional TOEFL score is considered only when the test is taken at an AMIDEAST UAE center.

Admission for Transfer Students

Students from accredited institutions of higher education may apply for admission to the 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 academic or disciplinary dismissal.

However, students who have not been of good academic standing but not dismissed (i.e. those with a CGPA of less than 2.0 on a scale of 4.0) but have not been subjected to academic or disciplinary dismissal may be allowed to transfer only to programs in a field distinctly different from the one in which they were enrolled at the institution they previously attended. And only the transfer of credited General Education courses may be considered.

Terms and Conditions of Courses Transfer:

- The transferred student fulfils the requirements for full admission to Ajman University, (including a valid English language proficiency certificate with the required score for the program). In addition, does not allow, under any circumstances, transfer students to be admitted under the provisions stipulated for conditional admission.

- The grade obtained on the previous course must be 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 number of credit hours for the course is not less than that of the AU equivalent course.
- The course content from the former education institution should be similar to that of the corresponding course offered at AU.
- AU does not grant credit twice for substantially the same course taken at two different institutions.
- AU will not transfer courses from an awarded Bachelor's degree. However, transfer courses from a diploma degree may be applicable based on the dean's college approval. Only grades obtained from courses taken at AU will be considered in the calculation of a student's CGPA, i.e. grades obtained from transferred courses at the previous institution will not be considered in the computation of the CGPA at AU.
- The transferred course will be marked in the transcript with the letter (T) only when the Office of Registration receives the required documents attested from MOE in addition to completing successfully the authenticity process.
- AU does not grant transfer students a degree unless they complete at least 50 percent of the total credit hours of the program, including the majority of the last 30 credit hours of the program study plan at AU.
- Limits transferred credits for Undergraduate programs to a maximum of 50% of the total credits required for the program.
- The transfer of credits for clinical training is permissible only when done in the UAE or exceptional circumstances, upon review and approval of a waiver to this requirement by the CAA.
- The graduation projects and thesis are not subject to transfer.
- Courses description for required courses must be stamped by the former educational institution and submitted to the Office of Registration.
- The applicant must disclose his/her desire to transfer courses from the previous university during the admission stage, otherwise, he/she bears full responsibility.
- The Ministry of Education will be contacted to ensure that the information for academic records issued outside the country is verified. In case of failure of receiving positive feedback from MOE-UAE, pre-equated courses from the former educational institute must be registered at AU the following semester.
- The Office of Registration has the authority to verify the authenticity of the academic records information from the previous educational institution after getting consent from the student. The decision to admit an applicant is made on a competitive basis, considering the number of available seats as determined by each college as well as the priority is given to fresh graduates.
- A fee of AED 500 will be charged for the evaluation of courses to be transferred. The fee will be refunded only if the student is admitted.

Re-admission of Former Students

1. New students who have missed two consecutive (regular) semesters of enrollment (in addition to the summer semester) at the university must apply for re-admission, A new university ID will be issued if he/ she satisfies all new admission requirements and should pay the non-refundable application fee.
2. Re-enrolment of discontinued students under the same student's ID may be approved under the following criteria: (shall apply on the online registration system (ORS))
 - The student ID number was issued in the fall semester without registering and he requested to register for courses at most in the summer semester of the same academic year
 - the student's ID number was issued in the spring semester without registering and he requested to register courses at most in the fall semester of the following academic year in



which the student's university number was issued.

3. 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 he/she achieve the following:
 - The required average in secondary school certificate.
 - A valid English Proficiency Certificate with the required score.
 - Satisfy all new admission requirements if any.
 - Repayment of all debts.
 - Pay the non-refundable application fee.
 - Considering the availability of vacant seats in the major.
 - If the college Dean's and the Registrar accept the student to continue in the same major, the previous courses that the student has studied will be considered if they are included in the new study plan.

N.B.:

In special cases, if the student can graduate within the time allowed for completion of a degree program and the 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. UAE Secondary School Certificate, or its equivalent, and grade transcript. Certified copies are acceptable
- b. Equivalency certificate issued by the ministry of education UAE for the holders of foreign high school certificate
- c. Photocopy of valid passport
- d. Photocopy of a valid UAE National ID Card
- e. Medical Checkup
- f. Status of UAE National Service for male students.
- g. A valid certificate of good conduct, issued by an official body
- h. passport-size photo
- i. A valid certificate of proficiency in the English language.
- j. The EmSAT certificate with the required score.
- k. Other requirements might apply based on an applicant's specific school system. The Unit of Student Recruitment and Admissions have the right to request any supporting documents.

Applications will be processed by the Unit of Student Recruitment and Admissions only after the payment of application and admission 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 certified from the country of origin by the authorized educational authority, the country's ministry of foreign affairs, and the UAE Embassy.

Seat Reservation

Applications will be processed by the Unit of Student Recruitment and Admissions

- a. Only after payment of the non-refundable application and registration fees.
- b. Students admitted to Medicine (MD 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 in 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

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
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
V 2.1	14/04/2021	Updated as per the new CAA Standards and Circulars	Office of Admissions and Registration and Office of Vice-Chancellor for Academic Affairs
V 2.2	16/09/2022	Updated as per the Ministry of Education Circulars and office name changes at AU.	Unit of Student Recruitment and Admissions
V 2.3	06/03/2023	Minor change related to amendments made on the academic probation policy	Office of Vice Chancellor for Academic Affairs

Graduate Admission Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Unit of Student Recruitment and Admissions
Approved By	Chancellor	Effective Date	Sep. 2022
		Next Review Date	Sep. 2025

Purpose

This document sets out the AU policy on admissions to the graduate programs, and it is applied by the Unit of Student Recruitment and Admissions. AU does not discriminate in recruitment and admissions on the basis of ethnicity, religion, disability, immigration status, gender or other such considerations.

Definitions

University: Ajman University.

Admissions Period: The period during which applicants can submit their admission application to the Unit of Student Recruitment and Admissions.

Application Level: Admission application category, graduate level.

Active Application: An application that is not marked as “Cancelled”, “Expired”, “Enrolled”, “Rejected”, or “Declined”.

Admissions Offer Letter: A letter issued by the Unit of Student Recruitment and Admissions and sent to the applicant notifying him/her that he/she has been admitted to the programs he/she has applied for.

Application Rejection Letter: A letter issued by the Unit of Student Recruitment and Admissions 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 and Registration Fee: The fee collected to process a student’s application and registration for 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.

System of Education and Graduate Programs Offered

The University utilizes the credit hour system. This system requires that students earn a total number of credit hours, as determined by the University, to complete their program of study. The required number of credit hours is distributed over a certain number of semesters, depending on the program. All AU Graduate programs are accredited by the Commission for Academic Accreditation (CAA) of the Ministry of Education – Higher Education Affairs, UAE.

The Graduate Programs Offered by AU

College	Degree	Total Credit Hours
Business Administration إدارة الأعمال	MBA ماجستير إدارة الأعمال • Human Resource Management إدارة الموارد البشرية • Financial Management الإدارة المالية • Marketing التسويق	36
	Doctorate of Business Administration (DBA) دكتوراه في إدارة الأعمال	60
Engineering & Information Technology الهندسة وتكنولوجيا المعلومات	Master of Science in Artificial Intelligence ماجستير العلوم في الذكاء الاصطناعي	30
Architecture, Art and Design العمارة والفنون والتصميم	M.Sc. in Urban Design ماجستير العلوم في التصميم الحضري	30
Law القانون	Master of Law in Private Law ماجستير القانون في القانون الخاص	33
	Master of Law in Public Law ماجستير القانون في القانون العام	33
	Doctorate of Philosophy in Law دكتوراه الفلسفة في القانون	57
Dentistry طب الأسنان	M.Sc. in Restorative Dentistry ماجستير العلوم في طب الأسنان الترميمي	60
	Master of Science in Endodontics ماجستير العلوم في المداواة اللبية السنية	70
	Master of Science in Pediatric Dentistry ماجستير العلوم في طب أسنان الأطفال	67
Pharmacy & Health Sciences الصيدلة والعلوم الصحية	Master of Science In Clinical Pharmacy ماجستير العلوم في الصيدلة السريرية	45
Mass Communication الإعلام	Master of Public Relations and Corporate Communication ماجستير في العلاقات العامة واتصال المؤسسي	33
Humanities and Sciences الإنسانيات والعلوم	Master of Arts in Arabic language and Literature ماجستير الآداب في اللغة العربية وآدابها • Literature and Criticism الأدب والنقد • Language and Syntax Grammar اللغة والنحو	36



	Professional Postgraduate Diploma in Teaching دبلوم الدراسات العليا المهني في التدريس	24

Admission Requirements to AU graduate programs

Ajman University has entry conditions designed to admit students to pursue graduate degrees who show a potential for a high level of performance, based on their previous academic record and other indicators of ability.

- a. Applications for admission should be submitted online before the beginning of the semester according to the dates specified in the AU calendar.
 - For admission to Professional Postgraduate Diploma in Teaching or Master programs, the applicant must be a holder of a Bachelor's Degree issued in the UAE or its equivalent as approved by the UAE Ministry of Education – Higher Education Affairs.
 - For admission to a Doctorate program, the applicant must be a holder of a Bachelor's Degree & Master's Degree issued in the UAE or its equivalent as approved by the UAE Ministry of Education – Higher Education Affairs.

AU's admission policy is non-discriminatory and the decision to admit a student is made on a competitive basis, considering the number of available seats according to the University's available resources and CAA *Standards* and directives.

Full admission:

For Full admission, the applicant must satisfy the following:

- i. The applicant for a Professional Postgraduate Diploma in Teaching program is a holder of a four-year Bachelor's degree other than in the education discipline, with a minimum CGPA of 3.0 on a scale of 4.0, or its equivalent.
- ii. The applicant for Master's programs is a holder of a Bachelor's degree in the same field as that of the program applied for, with a minimum cumulative GPA of 3.0 on a scale of 4.0, or its equivalent.
- iii. The applicant for Doctorate programs is a holder of a Master's degree in the same field as that of the program applied for, with a minimum cumulative GPA of 3.0 on a scale of 4.0, or its equivalent.
- iv. The applicant's Bachelor's / Master's degree was issued from an accredited university recognized by the Ministry of Education - Higher Education Affairs, UAE
- v. The applicant achieved the minimum required score of proficiency test in English with a valid certificate as the following:
 - For the Professional Postgraduate Diploma in Teaching program or the Master programs taught in Arabic, the applicant has achieved an EmSAT English with a minimum score of 950 or its equivalent.
 - For Master's programs taught in English, the applicant has achieved an EmSAT English with a minimum score of 1400 or its equivalent (Applicants for Master programs taught in English may be exempted from the English proficiency requirement only for students who undertook all their schooling (K-12) plus a Bachelor's degree in English in a reference English-speaking country (e.g. UK, USA, Australia, New Zealand).
 - For the DBA program, the applicant has achieved an EmSAT English with a minimum score of 1400 or its equivalent except for applicants who have studied Master's degree programs taught in English that required for admission a score of 1400 in EmSAT English or its equivalent.

- For the Doctorate of Philosophy in Law program, the applicant has achieved an EmSAT English with a minimum score of 1100 or its equivalent.
- vi. The applicant for the graduate programs taught in Arabic has achieved a minimum score of 1250 in EmSAT “Arabic”.
- vii. The applicant passed the interview for the programs of DBA, Master of Science in Pediatric Dentistry, Master of Science in Endodontics, M.Sc. in Restorative Dentistry, M.Sc. in Pharmacy.
- viii. The applicant has paid the application fee.
- ix. The applicant for DBA has paid the deposit for seat reservation.

Conditional admission requirements for Professional Postgraduate Diploma in Teaching program and Master programs

- a) Subject to availability of seats, conditional admission may be granted if the applicant fulfills the above listed general conditions of full admission but his/her CGPA is between 2.0 and 2.99 or if (the program is taught in English) his/her EmSAT English score is between 1250 and less than 1400 or its equivalent.

Conditional admission due to non-fulfillment of CGPA requirement.

- a.1. If the applicant has achieved an EmSAT English or its equivalent with a minimum required score and has a recognized Bachelor’s degree with a minimum cumulative grade point average (CGPA) of 2.5-2.99 on a 4.0 scale or its equivalent, he/she may be conditionally admitted to the Professional Postgraduate Diploma in Teaching program or for the Master programs. Such a student under this category will be allowed to continue in the program only if he/she meets the following conditions:

- take six credit hours of courses from the program study plan (as per the advice of his/her academic advisor) in the first semester of study and
- achieve a minimum CGPA of 3.0 on a 4.0 scale. by the end of his/her first semester.

Failure to meet the above conditions will result in dismissal from the program.

- a.2. If the applicant has achieved an EmSAT English or its equivalent with a minimum required score and has a recognized Bachelor’s degree with a minimum cumulative grade point average (CGPA) of 2.0 - 2.49 on a 4.0 scale or its equivalent, he/she may be conditionally admitted to the Professional Postgraduate Diploma in Teaching program or for the Master programs. Such a student under this category will be allowed to progress to the graduate program only if he/she meets the following conditions during the first semester of conditional admission or be subject to a dismissal:

- Must take a maximum of nine graduate-level credit hours as remedial preparation for the graduate program (these remedial courses are not for credit within the degree program).
- Must achieve a minimum CGPA of 3.0 on a 4.0 scale in these remedial courses in order to progress to the graduate program.

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

If the applicant has achieved an EmSAT English with a minimum score of 1250 or its equivalent (for the Master programs taught in English) with a recognized Bachelor’s degree and a minimum cumulative grade point average (CGPA) of 3.0 on a 4 scale, he/she may be conditionally admitted to the Master program. Such a student must meet the following requirements during the first semester of conditional admission or be subject to a dismissal:

- i. Must take six credit hours in the first semester of study, not including intensive English courses;
- ii. Must achieve a minimum CGPA of 3.0 on a 4.0 scale, in the first six credit hours of credit-bearing courses studied for the graduate program;



- iii. Must achieve an EmSAT English with a minimum score of 1400 or its equivalent, by the end of the student's first semester of study.

C) If the applicant for the programs taught in Arabic has a recognized Bachelor's degree with a minimum cumulative grade point average (CGPA) of 3.0 on a 4.0 scale, but not achieved the required score on the English proficiency test and /or the required score in EmSAT "Arabic", such a student may be conditionally admitted and must meet the following requirements during the first semester of conditional admission or be subject to a dismissal:

- Must take six credit hours in the first semester of study, not including remedial English, Arabic courses;
- Must achieve a minimum CGPA of 3.0 on a 4.0 scale, in the first six credit hours of credit-bearing courses studied for the graduate program
- Must achieve an EmSAT English with a minimum score of 950 or its equivalent, by the end of the student's first semester of study;
- Must achieve an EmSAT Arabic with a minimum score of 1250 by the end of the student's first semester of study;

Admission to Master Bridge (Foundation) Program

The Bridge (Foundation) Program is a program intended to bridge the gap between a student's prior work (Bachelor's degree) and the background required for the Master's program he/she is entering. 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 requirements of the program but they are holders of a Bachelor's degree in another area of specialization.

To transition from the foundation/ Bridge program to the Master program, a student must:

- Pass all the registered foundation courses specified by the program coordinator, with a minimum CGPA of 3.0 on a 4.0 scale.
- Obtain the (Management Appreciation Program) certificate For the MBA programs.
- Achieve an EmSAT English or its equivalent with a minimum, required score for his/her graduate program.

Important:

Applicants for the Master Bridge for the programs taught in English must obtain a minimum score of 1250 in EmSAT English or its equivalent before registering for their foundation courses.

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 for re-admission and obtain a new students ID. The previous courses which the student has completed will be considered if they are still included in the current study plan.

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

- 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. Courses that might have been completed at another institution (during the absence period) may be considered as per the course transfer policy. All fees, charges, and dues owed to the University must be paid in full.

Documents Required for Admission to a Graduate program

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

- Official university transcripts and graduation certificates certified by the appropriate authorities) Applicants to Professional Postgraduate Diploma in Teaching and Master's programs) .
- An Equivalency Certificate obtained from the UAE Ministry of Education's Higher Education Affairs Division for undergraduate degrees from universities outside the UAE (Applicants to Professional Postgraduate Diploma in Teaching and Master's programs) .
- Official Bachelor's and Master's university transcripts and graduation certificates certified by the appropriate authorities) Applicants to Doctoral programs) .
- An Equivalency Certificate obtained from the UAE Ministry of Education's Higher Education Affairs Division for Master's degrees from universities outside the UAE (Applicants to Doctoral programs) .
- A valid Certificate of proficiency test in English:
 - i. For all Master programs taught in English: (English EmSAT) with a minimum score of 1400 or its equivalent, applicants for Master programs taught in English may be exempted from the English proficiency requirement only for those students who undertook all their schooling (K-12) plus a Bachelor's degree in English in a reference English speaking country (e.g. UK, USA, Australia, New Zealand).
 - ii. For the Professional Postgraduate Diploma in Teaching program and all Master programs taught in Arabic: (English EmSAT) with a minimum score of 950 or its equivalent.
 - iii. A minimum score of 1400 in (English EmSAT) for (for DBA) except for applicants who have studied Master's degree programs taught in English that required for admission a score of 1400 in English EmSAT or its equivalent.
 - iv. A minimum score of 1100 in (English EmSAT) for (for Doctorate of Philosophy in Law)
- A minimum score of 1250 in Arabic EmSAT for all Graduate programs taught in Arabic.
- Colored valid passport scan with a valid residence.
- Colored valid UAE national ID scan (for UAE nationals and residents)
- A valid certificate of good conduct issued by the official authorities.
- Status of UAE National Service or exemption of the Military National Service (UAE Male applicants).
- Recent colored photograph passport-size.
- CV and experience certificate if available.
- Two recommendation letters.
- Medical check-up

Notes:

1. Other requirements might apply. The Office of Admissions and Registration has the right to request any supporting documents.
2. Unattested scans will be accepted to start the application process. However, applicants will be required to show attested original documents in person before enrolling at AU.



3. Applicants who applied for the equivalency certificate from the UAE Ministry of Education but did not complete the equivalency process by the time of registration will be allowed to register provided that they sign a conditional admission contract and they must submit a copy of the Ministry of Education application receipt.
4. The decision to admit an applicant is made on a competitive basis, considering the number of available seats in the program.
5. AU does not take into consideration Institutional TOEFL scores obtained in another institution.
6. Applications for admission are processed only after payment of the non-refundable Application and Registration Fee for Graduate programs.
7. Seat reservation deposit is required for the DBA program
8. A fee is required 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 canceled.

- a. Official Bachelor's and Master's university transcripts and graduation certificates obtained in the UAE must be certificated by the UAE Ministry of Education - Higher Education Affairs, UAE.
- b. Official Bachelor's and Master's university transcripts and graduation certificates obtained abroad must be certified from the country of origin by the authorized educational authority, the country's Ministry of Foreign Affairs and the UAE Embassy.

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 canceled 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 Unit of Student Recruitment and Admissions only after payment of the non-refundable application fees.
- b. Students admitted to certain programs 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 cancelation of admission offer.
- d. This deposit is deductible from the tuition fees of the semester for which admission was given.
- e. The Finance department sets the admission and seat reservation fee on the following links:
https://www.ajman.ac.ae/upload/files/financial_documents/Booklet_2022-2023_Eng_and_Ar_new.pdf
https://www.ajman.ac.ae/upload/files/financial_documents/Payment_Terms_both_Ar_En_updated_26_Apr_2022.pdf

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	24/10/2010	Initial policy	Office 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
V 3.0	01/06/2021	Major changes in admission requirements	Office of Admissions and Registration
V 4.0	06/01/2022	Revised as per the CAA approved changes of MSc in Clinical Pharmacy, and MSc in Urban Design	Office of Admissions and Registration
V 4.1	19/09/2022	Updated the office name, Office of Admissions and Registration to reflect the new structure Unit of Student Recruitment and Admissions.	Unit of Student Recruitment and Admissions



Transfer Admission Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA Office of Registration
Approved By	Chancellor	Effective Date	Sep. 2022
		Next Review Date	Sep. 2025

Purpose

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

Definitions

- University: Ajman University.
- Admissions Period: The period during which applicants can submit their admission application to the Unit of Student Recruitment and Admissions.
- 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 Unit of Student Recruitment and Admissions 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 Unit of Student Recruitment and Admissions 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 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.
- Transcript: A record, normally printed, detailing, for a given qualification/award, formally recognized 'parcels' of learning outcomes achieved against the standards/requirements set by the relevant accreditation/awarding body.

- Credit Hour and the Credit System: One-semester credit equals approximately 1 hour in class per week over a semester of 15 weeks or longer. It is assumed that a student spends two hours outside of class in independent learning or specific course assignments for every hour in class. This implies that one academic credit equates to a 45-hour commitment to learning over a semester. For laboratory or studio-based courses, the allocation of credit differs; 1-semester credit normally is given for two hours of laboratory or studio time per week over a 15-week or longer semester.

Transfer of Undergraduate Students from Accredited Institutions

Students from accredited institutions of higher education may apply for admission to the 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 academic 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) but have not been subjected to academic or disciplinary dismissal may be allowed to transfer only to programs in a field distinctly different from the one in which they were enrolled at the institution they previously attended. And only the transfer of credited General Education courses may be considered.

Terms and Conditions of Courses Transfer:

- The transferred student fulfils the requirements for full admission to Ajman University, (including a valid English language proficiency certificate with the required score for the program). In addition, does not allow, under any circumstances, transfer students to be admitted under the provisions stipulated for conditional admission.
- The grade obtained on the previous course must be 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 number of credit hours for the course is not less than that of the AU equivalent course.
- The course content from the former education institution should be similar to that of the corresponding course offered at AU.
- AU does not grant credit twice for substantially the same course taken at two different institutions.
- AU will not transfer courses from an awarded Bachelor's degree. However, transfer courses from a diploma degree may be applicable based on the dean's college approval. Only grades obtained from courses taken at AU will be considered in the calculation of a student's CGPA, i.e. grades obtained from transferred courses at the previous institution will not be considered in the computation of the CGPA at AU.
- The transferred course will be marked in the transcript with the letter (T) only when the Office of Registration receives the required documents attested from MOE in addition to completing successfully the authenticity process.
- AU does not grant transfer students a degree unless they complete at least 50 percent of the total credit hours of the program, including the majority of the last 30 credit hours of the program study plan at AU.
- Limits transferred credits for Undergraduate programs to a maximum of 50% of the total credits required for the program.
- The transfer of credits for clinical training is permissible only when done in the UAE or exceptional circumstances, upon review and approval of a waiver to this requirement by the CAA.
- The graduation projects and thesis are not subject to transfer.
- Courses description for required courses must be stamped by the former educational institution and submitted to the Office of Registration.



- The applicant must disclose his/her desire to transfer courses from the previous university during the admission stage, otherwise, he/she bears full responsibility.
- The Ministry of Education will be contacted to ensure that the information for academic records issued outside the country is verified. In case of failure of receiving positive feedback from MOE-UAE, pre-equated courses from the former educational institute must be registered at AU the following semester.
- The Office of Registration has the authority to verify the authenticity of the academic records information from the previous educational institution after getting consent from the student. The decision to admit an applicant is made on a competitive basis, considering the number of available seats as determined by each college as well as the priority is given to fresh graduates
- A fee of AED 500 will be charged for the evaluation of courses to be transferred. The fee will be refunded only if the student is admitted.

Transfer of Graduate Students from Accredited Institutions

A Graduate Student from accredited institutions of higher education who have not been subjected to academic or disciplinary dismissal may apply for admission to the AU Graduate programs and may transfer accredited courses to students who are transferring to a similar program to one studied previously.

Terms and Conditions of Courses Transfer:

- The transferred student fulfills the requirements for full admission to Ajman University, (including a valid English language proficiency certificate with the required score for the program). In addition, does not allow, under any circumstances, transfer students to be admitted under the provisions stipulated for conditional admission.
- The transfer student has been of good academic standing, i.e., their Cumulative Grade Point Average (CGPA) is a least 3.0 on a scale of 4.0 or the equivalent.
- The grade obtained on the previous course must be at least B (3.0 on 4.0 scale), irrespective of the course status such as “Good, Very Good”, or the grade that corresponds to “Merit/ Very Good” for institutions using a different grading scale,
- The number of credit hours for the graduate course is not less than that of the AU equivalent graduate course,
- The course content from the former educational institute be similar to that of the corresponding course offered at AU.
- The course is not a course of the Pre- Master foundation Program,
- AU does not grant credit twice for substantially the same course taken at two different institutions.
- AU will not transfer courses from an awarded degree.
- Only grades obtained from courses taken at AU will be considered in the calculation of a student’s CGPA, i.e.: grades obtained from transferred courses at the previous institution will not be considered in the computation of the CGPA at AU.
- AU does not grant transfer students unless they complete at least 75 percent of the total credit hours of the program including the majority of the final year courses at AU.
- Limits transferred credits for Master's programs to a maximum of 25% of the total credits required for the program.
- The transferred courses should not constitute the majority of courses of the 2nd year of the program.
- The transfer of credits for clinical training is permissible only when done in the UAE.
- The graduation projects and thesis are not subject to transfer.
- It is not granted credit twice for the same course taken at two different institutions.
- For Doctorate of Philosophy in Law program, course transfer can only be within two years after passing the course,

- A transcript indicating the courses studied at the previous institution is required and it should be certified/attested by MOE, Transfer credit hours will be reported on the AU Transcript only when the Office of Registration receives the authenticity of the transcript from the former institution of the student and MOE.
- Courses description for required courses must be stamped by the former educational institution and submitted to the Office of Registration.
- The applicant must disclose his/her desire to transfer courses from the previous university during the admission stage at most, otherwise, he/she bears full responsibility in the event that the transfer of courses is not accepted
- A fee of AED 500 will be charged for the evaluation of courses to be transferred. The fee will be refunded if the student is admitted only.
- The transferred course will be marked in the transcript with the letter (T) only when the Office of Registration receives the required documents attested properly in addition to completing successfully the authenticity process.

Evaluation and Award of Transfer Credit

AU's evaluation and award of transfer of credit ensure an appropriate determination of student's knowledge in required subject areas. In addition, AU provides ease of transfer of credits for students transferring from a higher education institution with an established articulation agreement with AU. A list of institutions with an articulation agreement with AU shall be made available on the AU's Admissions webpage.

AU ensures that there is a quality oversight of credits awarded and consideration for other accredited institutions. In coordination with the Office of Registration, the concerned department representatives with subject matter specialists in making decisions regarding transfer admissions, transfer of credit, and advanced standing determine the transfer of credit.

Documents Required for Course Credit Transfer Evaluation:

- 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 and/or course information from the catalogs, course syllabi, and other materials sourced from direct communication between knowledgeable and experienced faculty and staff at AU and the sending institutions. Valid English Proficiency certification such as EmsAT, TOEFL, IELTS, or other certification with the required score.

The course transfer documents are reviewed by the evaluators of the respective Department. Acceptance of transfer of credit is not solely dependent on the accreditation status of the sending institution. Also, a credit will not be given twice for substantially the same course taken at two different institutions. AU may accept previous work, but may also determine previous work to have no applicability to a specific degree at AU. AU will fully disclose the evaluation findings and its implications to the students before they decide to enroll. The course credit transfer evaluation takes five (5) days from receiving the request. Written notification will be sent to the student prior to admission of the transferability of credit, and how much the accepted credit will be applied to the degree program at AU. Records of all decisions and related documents are maintained by the Office of Registration.



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
V 2.1	13/10/2020	Minor change - added the section "Evaluation and Award of Transfer Credit"	Vice Chancellor for Academic Affairs
V 2.2	10/02/2021	Minor change- updated English proficiency requirement	Office of Admissions and Registration
V 2.3	21/03/2021	Minor change- updated Transfer of Graduate Students from Accredited Institutions	Office of Admissions and Registration
V 2.4	19/09/2022	Updated <i>Terms and Conditions of Courses Transfer</i> and the name of the office from Office of Admissions and Registration to Office of Registration.	Office of Registration

People of Determination Policy

Policy Owner(s)	Chancellor	Responsible Office	Office of the Chancellor
Approved By	Chancellor	Effective Date	March 2023
		Next Review Date	March 2026

Purpose

Ajman University (AU), in line with its values and in compliance with the “National Policy for Empowering People with Special Needs” has established this policy to ensure that all those with special needs or People of Determination among its students, faculty, staff and visitors are treated in fair and equitable manner.

Definition

People of Determination (POD): Under the provision of the United Arab Emirates Federal Law No. 29 of 2006 and the Federal Law No. 14 of 2009, the law defines a person of determination as “every person suffering from a temporary or permanent, full or partial deficiency or infirmity in his/her physical, sensory, mental, communicational, educational or psychological abilities to an extent that limits his/her possibility of performing the ordinary requirements”.

Scope

This policy applies to all students, faculty, staff and visitors at AU that are known as People of Determination.

Policy

AU is committed to providing equal access to academic programs, and a supportive environment where students with special needs or with disability, referred to as “People of Determination”, are encouraged to join AU Community and fully participate in its academic experience without barriers or discrimination.

Similarly, AU provides a fair and equitable workplace and offers all individuals full opportunity to develop their potential. Accordingly, AU will identify and eliminate any discriminatory barriers, and shall advance the interests of all individuals regardless of their differences to ensure that fair and equal opportunity is afforded to all who seek employment at the University, regardless of their special needs or disability, nationality and gender.

In line with Article 12 of Federal Law No. 14 of 2009, AU is committed to undertaking all necessary steps to welcome applications from students, faculty, staff, and visits of people with special needs and provide them with access to equal opportunities in education, employment and other services, as appropriate.

Ajman University is committed to ensuring a safe and appropriate environment for students, faculty, staff, and visitors with special needs, by providing support and facilities for people of determination.

Responsibilities

- It is the responsibility of the students, faculty, staff and visitors to choose to either disclose or not disclose their disability.
- In case of non-disclosure during the registration, hiring, visit period, the University is not responsible for the provision of any reasonable possible adjustments, which might comprise the provision of specific exam adjustments, learning support, housing adjustments, scholarship/ discounts according to Policy of Scholarships and Discounts, and/or parking pass.
- The students should report any disability by the beginning of each semester, or during the academic year, if any.

- The University will take into consideration cases where students, faculty and staff health situation changes during the course of their academic studies or employment at AU.

Provisions for Students

To encourage the inclusion of “People of Determination” in education, AU may provide scholarship/ discount and/or a reasonable adjustment to students with a documented disability that makes them fall under one of the “People of Determination” categories recognized by the UAE Ministry of Education.

Recognized disability categories are as follows:

- Auditory Impairment
- Visual Impairment
- Physical Disability
- Mental/Intellectual disability
- Speech and Language Disorders
- Autism Spectrum Disorders

A. Student of Determination Disclosure and Scholarship Grant

1. Upon application for an undergraduate or graduate program at AU during the admission and registration period, “People of Determination” (POD) wishing to benefit from a scholarship and/or a reasonable adjustment are encouraged to submit a request to the Office of Registration. This can be done after disclosing their disability and providing supporting documents for authentication and eligibility.
2. The POD medical file and documents are submitted to office of Medical Services for validation, assessment and approval and eventual recommendations for further student support.
3. Scholarship eligibility and/or a reasonable adjustment for students enrolled on full-time or part-time basis in any Undergraduate or Graduate program, may be set and determined by the Chancellor based on the assessment report submitted by the student or his/her family and once approved by the Office of Medical Services.

The supporting documents should include:

- Disability Card (an exception can be given by the Chancellor).
 - A current medical report (not older than 3 years) from an accredited health professional that describes the health condition/impairment, its academic impact, and mentions whether it is permanent or temporary.
4. Upon admission of a student with a disability into an undergraduate or graduate program, the Office of Registration shall forward the student’s supporting documents to the Office of Scholarships and Financial Aid which in turn forwards it to the Office of Medical Services for assessment and approval (Scholarship workflow procedure is initiated involving all required offices; including Office of Scholarships and Financial Aid, Office of Medical Services, and Office of the Chancellor):
 - a. The student’s file with the medical recommendations is forwarded to the Office of the Chancellor for the final decision.
 - b. For some cases, a psychological assessment is required besides the submitted documents; where a referral to AU Counseling Unit is required to have a full picture of the student’s needs. The recommendations are shared with the concerned deans to set the needful support for the student.
 - c. The Offices of Medical Services and Scholarships and Financial Aid shall schedule an appointment with the student to discuss and conduct an evaluation of the disability, its impact on his/her academic studies, and his/her social situation.
 - d. Based on the provided documents and the comprehensive interview conducted with the student, the Office of Medical Services shall raise a recommendation to the Chancellor. In

light of the report findings and the applicable internal norms, the Chancellor reserves the right to allocate a Scholarship percentage to the registered student and/or any other type of support.

AU POD Scholarship Grant

Scholarships for People of Determination (POD):

- Students of Determination shall be entitled to a scholarship throughout their study at the University according to Policy of Scholarships and Discounts, as per a recommendation from a specialized committee formed for this particular reason. The recommended percentage of scholarship shall be approved by the Chancellor.
- The discount applies to all undergraduate programs.
- The student must maintain a CGPA of 2.00 or higher.
- The student must visit the University clinic and have his/her case approved.
- The Office of Scholarships and Financial Aid shall reflect the scholarship percentage on its system and convey the decision to the concerned student.
- The Office of Scholarships and Financial Aid and the Office of Medical Services may ask the student to submit reports from time to time that justify the continuity of the support.
- The Chancellor may at any time, for any reason, cancel the scholarship given to the student.

B. Student Services for People of Determination

Ajman University provides reasonable accommodation and equal access to cocurricular activities, events, programs and services for People of Determination with documented disabilities. Cocurricular activities that are provided to People of Determination are based on their condition's limitations and specialist's recommendations. People of Determination have equitable access to recreation and sport facilities on campus as far as feasible and affordable. AU Student Housing provides safe and specially equipped accommodations designed for People of Determination. In addition, an Emergency Plan has been established that takes into consideration the requirements for People of Determination; providing them with evacuation wheelchairs, specially designed ramps and wheelchair access slope at the entrance. Moreover, AU is welcoming all students of determination, and the Counseling Unit is keen on providing them with inclusive and sustainable academic and psychological needed support on campus and virtually.

The Deanship of Student Services (DSS) offers students and applicants an opportunity for confidential disclosure of personal information relating to mental health. For those with a documented mental health condition, the DSS relevant office assesses the support needed and arranges for reasonable adjustments to be made. The type of support may vary among students. These needs may include, but not limited to:

- Behavioral, social, or emotional support.
- Sensory.
- Physical Disability.
- Speech and Language Disorders.
- Communication and Interaction.
- Dyslexia –reading.
- Dysgraphia - writing/spelling.
- Developmental coordination disorder.

The Counseling Unit shall define a mechanism by which academic needs of students with special needs could be fulfilled. Accommodations may include specific examination arrangements. The provision of accommodations will be made within the parameters of the following factors:

- The nature of student circumstances and needs following consultation with the student and examination of available evidence and relevant assessments.
- The nature of the academic program of study.
- The likely effectiveness of the adjustment in removing the disadvantage.
- The practicality of the adjustment, taking into account: disruption, health and safety issues, the reasonable expectations of others and external factors (for example, factors in relation to student placements).

Student accommodations are designed to support students with learning challenges so they can achieve their academic potential. These accommodations vary according to each case. Additional information is available in the Counseling Unit.

Emergency Procedures

The following Emergency Procedures for Persons with Disability are available in the Office of Medical Services:

- Refer to AU Emergency Plan and Procedures (November 2020)
- Fact Sheets: Emergency Procedures for Persons with a Disability
- Assisting individuals with disabilities in an emergency:
 - Individuals Who Are Blind or Have Low Vision
 - Individuals Who Are Deaf or Hard of Hearing
 - Individuals with Mobility Limitations – (non-wheelchair user)
 - Individuals with Mobility Limitations - (wheelchair user)
 - Individuals with Psychological Disabilities.

Miscellaneous

5. This Policy supersedes any other old related policies, procedures, minutes of meeting, manuals, handbooks, and bylaws.
6. The Chancellor is responsible for handling any issues that might arise and are not covered in this Policy.
7. In case of conflict between the Arabic and English versions of the Policy, the English one prevails.
8. Any exceptions to this Policy must be well justified and raised to the Chancellor for a final decision.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	20/04/2021	Initial policy	Vice-Chancellor for Academic Affairs
V 1.1	07/03/2023	This policy is updated to include faculty, staff and visitors that are categorized as POD.	Office of the Chancellor

Scholarships and Discounts Policy

Policy Owner	Vice-Chancellor for Communication and Community Affairs	Responsible Office	Office of Scholarship and Financial Aid
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Definitions

University: Ajman University.

Internal Scholarship: A full or partial exemption of tuition fees offered by Ajman University, as per a decision issued by the Chancellor of Ajman University or whom he authorizes and subject to specific regulations.

External Scholarship: Study seats reserved in Ajman University for partial or full exemption of tuition fees, dedicated for governmental, charitable and private institutions and as per a joint decision between the concerned external entities and the Chancellor of Ajman University or whom he authorizes. Such a scholarship is subject to specific regulations.

Discount: A total or partial exemption of tuition fees offered by Ajman University to its students, faculty and staff. Such a discount is subject to specific regulations.

Policy

General Provisions

The provisions hereunder shall apply to the following scholarships and discounts specified on this policy:

1. Scholarships and discounts percentages shall apply to tuition fees and lab fees only, whereas training fees are not included.
2. Scholarships and discounts shall not apply to the foundation year in all majors, excluding the College of Medicine.
3. Upon fulfilling all conditions, the scholarship or discount shall only apply to Fall or Spring semesters. It shall not apply to Summer semester.
4. Scholarships/discounts do not cover the fees for failed courses or the courses withdrawn after the drop and add period.
5. Students are entitled to one discount or scholarship per semester. If the student is eligible for more than one discount or scholarship, s/he shall be awarded the highest discount or scholarship.
6. The student may change his/her major within the same college. Transferring to another college may only be processed upon the consent of the Chancellor or whom he authorizes.
7. The student is entitled to a scholarship or discount after submitting the English proficiency certificate and before the end of the drop and add period in the semester in which the scholarship/discount is awarded. The scholarship or discount may not be postponed to the subsequent semester.
8. The scholarship/discount shall be suspended if the student's CGPA drops below the minimum average grade. The student shall be given one chance to recover the scholarship or discount if s/he raises his/her CGPA above the minimum average grade unless stated otherwise. However, s/he needs to submit an application in person to recover the scholarship/discount. The scholarship/discount shall be irremediably discontinued if the student's CGPA drops below the minimum average grade for a second time.



9. Postgraduate students are permanently deprived of the scholarship or deduction in case the student's cumulative GPA is below the minimum required in the scholarships/discounts allocated for postgraduate studies.
10. If the student ceases to register the courses, s/he will be required to apply for retaining the scholarship / discount when he registers again.
11. The right of the student to claim the grant or deduction shall dropped after the expiry of the period of submission specified by the university administration in each semester. In case the date of expiry of the application period is not specified, this period shall end with the end of the semester in which the grant or deduction is due.
12. Internal scholarships may be allocated based on the approval of the chancellor.
13. The Chancellor or whom he authorizes shall have the right to suspend the grant or discount for any reason whatsoever without notice.
14. The Chancellor or whom he authorizes shall have the right to grant exceptions if deemed necessary.
15. All university regulations shall apply to all students.
16. In the event of conflict with the provisions of this policy or any other policy, booklet or manual, this policy shall apply.
17. The Chancellor or whom he authorizes may decide on cases in which no provision is made in the Regulations.

Scholarships for High School Toppers

1. The high school toppers nationwide, in both general and advanced streams, shall be entitled to a full scholarship till graduation from undergraduate all majors, provided that they maintain a minimum CGPA of (3.6). A proof of rank shall be submitted upon the announcement of high school certificate results and before the beginning of the academic year. The scholarship shall be as follows:

First high school topper, UAE	100%
Second high school topper, UAE	75%
Third high school topper, UAE	50%

2. The three high school toppers in the Emirate of Ajman, for both the general and advanced streams, shall be entitled to full or partial scholarship during their study at any undergraduate program, provided that they maintain a minimum CGPA of (3.6). A proof of rank shall be submitted upon the announcement of high school certificate results and before the start of the academic year. The scholarship shall be as follows:

First high school topper, Ajman	100%
Second high school topper, Ajman	75%
Third high school topper, Ajman	50%

3. The high school top student (male or female student) in the countries below shall be awarded a 100% permanent scholarship in all majors until graduation provided that he/she maintains a minimum not less than CGPA of (3.6). A proof of rank shall be submitted upon the announcement of high school certificate results in his/her country and before the start of the academic year.

Approved Countries:

1. Saudi Arabia	7. Jordan	13. Tunisia	19. Philippines
2. Sultanate of Oman	8. Lebanon	14. Morocco	20. Nigeria
3. Kuwait	9. Syria	15. Afghanistan	21. Korea
4. Bahrain	10. Egypt	16. Pakistan	22. China
5. Iraq	11. The Sudan	17. Kazakhstan	23. Kenya
6. Palestine	12. Algeria	18. India	24. Ghana

4. High school students who obtain a CGPA of 99% in their UAE high school certificates or equivalent certificates shall be awarded a 30% discount in all majors (for the first semester of enrolment only), except the College of Medicine.
5. Discount for toppers to join the College of Medicine:
Five high school students who obtain the highest high school percentage (99% or above) shall be awarded a 30% discount (for the first semester of enrolment only). If the high school toppers obtain the same high school percentage, the University Chancellor shall award the discount at his discretion. If it turns out that the topper student is entitled to more than one scholarship or discount, s/he shall be awarded only higher discount. Another student shall be considered who meets the conditions. The number of outstanding students may not exceed 5.
6. High school students who obtain a CGPA of 95% - in their UAE high school certificates or equivalent certificates shall be awarded a 20% discount on their tuition fees if they are admitted to the College of Medicine and the College of Dentistry, provided that all requirements are met.
7. The students who obtain a CGPA of 90% and above in their UAE high school certificates or equivalent certificates shall be awarded a 20% discount on their tuition fees (for the first semester of enrolment only) if they are admitted to any other college during the first semester, provided that all requirements are met.

Discount of Excellence and Prime Colleges

1. Students who were enrolled before the academic year 2020-2021:
 - Shall be awarded a 20% discount of excellence if s/he completes 15 credit hours or more in the previous semester (first or second) with a minimum GPA of (3.8) or above.
 - Shall be awarded a 10% discount of excellence if s/he completes 15 credit hours or more in the previous semester (first or second) with a GPA between (3.6) and (3.799).
2. Students who were enrolled in the first semester of the academic year 2020-2021 and onward:
 - Shall be awarded a 20% discount of excellence if s/he completes 15 credit hours or more in the previous semester (first or second) with a GPA of (4.00)
 - Shall be awarded a 15% discount of excellence if s/he completes 15 credit hours or more in the previous semester (first or second) with a GPA between (3.8) and (3.99)
 - Shall be awarded a 10% discount of excellence if s/he completes 15 credit hours or more in the previous semester (first or second) with a GPA between (3.6) and (3.799).
3. Best achievers in the colleges for undergraduate programs shall be awarded a scholarship in the following semester of their outstanding achievements as follows:
 - a. 100% for first best achiever on the college level
 - b. 75% for second best achiever on the college level
 - c. 50% for third best achiever on the college level

The Office of Registration shall provide the Office of Scholarships and Financial Aid with a list of the top achievers in all colleges. This list is to be approved by the concerned body in the University.

Discounts for Innovative/Creative students

The creative and innovative students shall be entitled to a discount determined by the Chancellor or whom he authorizes after submitting recommendations from a specialized committee for this purpose until graduation in all bachelor specializations, provided that the student's creators/innovators deduction after joining the University maintains a cumulative grade point average of not less than (3.6).

Discounts for Ajman University Alumni and their families

These discounts are only for Ajman University alumni and their families. They shall only apply to the students enrolled in the first semester of the academic year 2018/2019 and onward.

Alumni Discounts

❖ AU Alumnus Discount:

- Students enrolled in all graduate programs
- Approved percentage:
 - 20% discount for alumni with less than (3.00) CGPA.
 - 25% discount for alumni with (3.00) – (3.59) CGPA.
 - 30% discount for alumni with (3.60) – (3.79) CGPA.
 - 40% discount for alumni with (3.80) – (3.99) CGPA.
 - 50% discount for alumni with (4.00) CGPA.
- The discount changes as per previous CGPA.
- The student must maintain an average CGPA of (3.00) or more.
- The discount shall be irremediably discontinued if the student's
- CGPA drops below (3.00).
- The discount does not include the Foundation Year.

❖ Spouse Discount:

- Students enrolled in all graduate programs.
- 20% discount.
- The student must maintain an average CGPA of (3.00) or more.
- The scholarship/discount shall be irremediably discontinued if the student's CGPA drops below (3.00).
- The discount does not include the Foundation Year.

❖ Spouse & Children Discount for all undergraduate programs:

- 10% discount.
- The student must maintain an average CGPA of (2.00) or more.

Scholarships for the People of Determination

- Students of determination shall be entitled to a scholarship throughout their study at the University as per a recommendation from a specialized committee formed for this particular reason. The recommended percentage of scholarship shall be approved by the Chancellor.
- The discount applies to all undergraduate programs.
- The student must maintain an average CGPA of (2.00) or more.
- The student must visit the university clinic and have his/her case approved.

Discounts for Ajman University Employees

(All the university colleges except the College of Medicine)

1. A resident faculty member may apply for a tuition fee discount for his family members (two seats per semester) as detailed in clause (3).
2. A full-time administrative or support staff member who had passed the probation period and formally appointed to his/her position before the end of the add & drop period during the same semester, may apply for a scholarship to his family members or himself (two seats per semester) and as per the details in clause (3)
3. The following percentages are applied:
 - 3.1. A full-time administrative or support staff member whose application for a scholarship is approved is eligible to a 75% discount at any AU college except the Colleges of Medicine, Dentistry and the College of Pharmacy (for undergraduate studies only).
 - 3.2. A full-time administrative or support staff member whose application for a scholarship is approved is eligible to a 30% discount when S/he enrolls in any graduate program (before the end of add and drop period and during the same semester). This discount shall be applied through the duration of the graduate studies, provided that the student maintains a minimum CGPA of (3.00).
 - 3.3. Children enrolled in any undergraduate program:

No.	Dentistry and Pharmacy	Other colleges
First	75%	100%
Second & above	45%	75%

- 3.4. Children enrolled in any graduate program are eligible for a 25% discount throughout their studies if they maintain a CGPA of 3.00 and above.
- 3.5. A 25% discount shall be awarded to siblings or spouses who join any undergraduate program throughout their studies if they maintain a CGPA of 2.00 and above. The same discount is offered to those who want to join any graduate program provided that they maintain a CGPA of 3.00 and above.
This discount shall not be awarded to stepbrothers or stepsisters unless their tuition fees are paid out by the AU employee or the father or mother of the latter.
4. Withdrawing or discontinuing the study of one of the children does not mean rearranging the eligibility rates of the other children.
5. Any AU employee or faculty member who resigns or take along unpaid leave shall automatically lose any scholarship/discount offer by AU in the same semester.
6. In case of terminating the service of any AU employee or faculty member, the scholarship/discount shall remain valid until the end of the semester in which the termination takes place.

Discounts for Ajman University Employees

(College of Medicine)

- 1- A number of discounts shall be allotted in the College of Medicine to relatives of Ajman University Employees which should not exceed 10% of the total number of students admitted in the college. These exclusively include the husband, wife, son, brother and sister.
- 2- Article (9), with all its clauses, shall apply, except clause No. (3) which is replaced by Article (3) of the same article.
- 3- The discount rates shall be applied as follows:

Family Members	Discount
First Son/daughter	60%
Second son/daughter and above	45%
Brothers / sisters – Husbands / Wives	25%

- 4- This discount shall not be awarded to stepbrothers or stepsisters unless their tuition fees are paid out by an AU employee or the father or mother of the latter.
- 5- If the number of AU employees' relative students, who wish to be enrolled in the College of Medicine, has exceeded the maximum 10% limit, then the students with higher scores in the secondary high school shall be given preference.

Discounts for Omani Students

- Every Omani student shall be awarded a 20% discount in the first semester of registration if he/she obtains the English proficiency certificate before the end of the add-drop period.
- This discount shall continue as long as the student maintains a minimum CGPA of (2.00).
- This discount shall be cancelled If the beneficiary student obtains another nationality during the course of his/her study.
- The discount is applicable to undergraduate studies only.
- The discount shall be maintained in case the student changes his/her major either within the same college or between different colleges.

Discount for students' relatives

Students' relatives (father, mother, siblings) who are enrolled in an undergraduate program at Ajman University shall be awarded a discount ranging between 5% and 20% as per an ascending order based on the University ID number of each enrolled student. The discount for first-degree relatives is exempted from the CGPA (2.00) requirement. The discount shall be maintained in case the student changes his/her major, either within the same college or between different colleges. Details of this discount are as below:

No.	Discount
First	5%
Second	10%
Third	15%
Fourth and above	20%

This discount shall not be awarded to stepbrothers or stepsisters unless their tuition fees are paid out by the student of Ajman University or by the father or mother of the latter.

Scholarships for Ajman Ruler's Court

Ajman University annually specifies 20 full scholarships to new and old students selected by the Ajman Ruler's Court, President of the University Board of Trustees. This type of scholarships covers all AU colleges, except the Colleges of Medicine, Dentistry and Pharmacy (unless otherwise approved by Ajman University and Ajman Ruler's Court). These scholarships apply to undergraduate programs only. They are applied during the semester in which the scholarship is awarded, and may not be postponed to another semester, without a prior approval from the University board. To avail the scholarship, the student shall register in the semester in which the scholarship is awarded.

Scholarships for Ajman Municipality and Planning Department

Ajman University annually allocates six scholarships to the Ajman Municipality and Planning Department. This type of scholarships covers new and old students and all AU colleges, except the Colleges of Medicine, Dentistry and Pharmacy (unless otherwise approved by Ajman University and Ajman Municipality and Planning Department). These scholarships apply to undergraduate programs only. They are applied during the semester in which the scholarship is awarded, and may not be postponed to another semester, without a prior approval. Students should register during the semester in which the scholarship is awarded.

Discounts for Local and Federal Departments

A 20% discount shall be awarded to employees of local and federal departments across the Emirate of Ajman who wish to pursue their undergraduate studies in all majors, except for the College of Medicine, College of Dentistry and College of Pharmacy, provided to maintain CGPA of (2.0) or more. The same applies to those who wish to continue their graduate studies, provided to maintain CGPA of (3.0) or more. Those who were enrolled in the second semester of the academic year 2016-2017 and onward, provided that the student proves his/her uninterrupted service with their departments in the beginning of each and every semester.

Cooperation Agreements

Special discounts shall be awarded to governmental, private or sponsoring entities. The amount of the discount shall be approved by the AU Chancellor or whom he authorizes in accordance with any mutual cooperative agreements signed between Ajman University and such entities. The general provisions herein shall apply to this Article. This article shall be attached to special conditions in accordance to the signed agreements.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	01/09/2019	Initial Policy	Manager of Scholarship and Financial Aid
V 1.1	31/08/2021	Updated the discounts of High school students who obtain a CGPA of 99% in their UAE high school certificates or equivalent certificates, and discount of excellence.	Manager of Scholarship and Financial Aid

Student Study Mode and Load Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Mar. 2023
		Next Review Date	Mar. 2026

Purpose

This policy defines the student study mode and specifies the study load at Ajman University (AU).

Definitions

Semester: A semester is a period of time, minimum of 15 weeks, during which an institution offers courses (Fall/Spring).

Term: Some courses may be offered in a time-shortened period, often called a term, such as a summer term, which offers class contact time and out-of-class assignments equivalent to a semester course.

Scope

All AU students.

Statement

In accordance with the CAA *Standards* 2019 and best practices in higher education, AU defines the student study mode and ensures that students register for appropriate study load conforming to their approved study plan. Moreover, AU considers it very important that consideration is given to the student's academic standing at the time of their course registration in order to adequately support their academic progress at AU.

Student Study Mode and Load

1. Full-time

- Undergraduate student credit hour load is between 12 and 18 credits per regular semester. However, students following their accredited study plans with more than 18 credit hours shall register as per the approved study plan. At the time of re-accreditation, all study plans will be updated to ensure that the maximum number of credit hours per semester does not exceed 18 credit hours for full time students.
- Graduate students credit load is 9-12 credits per regular semester.

2. Part-time

- Students undertaking less than 12 undergraduate credits per regular semester.
- Students undertaking less than 9 graduate credits per regular semester.

3. Students cannot normally be allowed to undertake more than 6 credits in the summer term.

4. Exceptions to above-mentioned limits can only be made for a maximum of an additional 3 credits for students in their final graduation semester or term.

5. In case of an academic warning/probation, the full-time student study load is reduced in accordance with the Academic Probation Policy and the Academic Progress Policy of Ajman University.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	13/04/2021	Initial policy	Council for Academic Affairs
V 1.1	06/03/2023	Minor changes related to the amendments made on the academic probation policy	Office of Vice Chancellor for Academic Affairs

Academic Advising Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date (revised)	Aug. 2022
		Next Review Date	Aug. 2025

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. Academic advisors provide guidance to students in taking responsibility for their own learning, and in developing meaningful educational plans that fit their potential and their career and life goals. 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. The upper limit on the number of advisees per academic advisor shall be 40;
- h. Assessment of department advising shall be done every semester as part of the regular program review process;
- i. Academic departments advising shall be assessed and reviewed every year;
- j. Funding and resources shall be made available to all units to ensure effective and efficient advising at all levels;
- k. Training shall be provided for all advisors and peer mentors;
- l. 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.

- A. 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.
- B. 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 advice 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.
- C. Resources available on campus.
- D. 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
V 1.2	01/09/2021	Policy reviewed -no changes made	Office of the Vice Chancellor for Academic Affairs
V 1.3	17/08/2022	Minor change – inclusion of upper limit on the number of advisees per academic advisor	Office of the Vice Chancellor for Academic Affairs

Student Disciplinary and Academic Integrity Policy

Policy Owner	Dean of Student Services	Responsible Office	Deanship of Student Services
Approved By	Chancellor	Effective Date	Sep. 2022
		Next Review Date	Sep. 2025

Article 1

Definitions

The following terms shall have the meanings ascribed to them below:

- University: Ajman University.
- Chancellor: University Chancellor.
- Student: All students enrolled at the university irrespective of their level of study, including the College of Dentistry internship students.
- Committee: The Student Disciplinary Committee (SDC).
- SPC: Student Plagiarism Committee.
- Penalty: The disciplinary penalty provided for herein.
- Examination: any form of assessed academic activity conducted orally, or in writing, whether in classrooms, laboratories, online, or any other medium.

Scope

Article 2

1. The provisions of this policy shall apply to all students' violations, be they academic or non-academic, which expose students to the disciplinary penalties provided for in this policy whether the violation has been committed on campus, at the students' hostels, during training, at the host institution for students under exchange program, or events organized or sponsored by the university.
2. Except for cases of plagiarism, all cases of disciplinary violations, shall be considered by the University-level Student Disciplinary Committee (SDC). Only the plagiarism cases shall be considered by the College-level Student Plagiarism Committee (SPC).

Article 3

1. The penalties provided for in this policy shall not apply to violations committed by the student off-campus except in the cases where such violations might bring the University into disrepute or are committed during events organized or sponsored by the university. Determining the same shall be left to the discretion of the Chancellor or his authorized representative.
2. This Committee does not have jurisdiction to hear the complaints submitted against faculty members or staff member, even if the complaint was submitted by students. However, if the investigation conducted by the Committee shows that a faculty member or a staff member might be involved, it shall inform the Chancellor.

Formation of the Committee and its Meetings

Article 4

1. The Committee (SDC) shall be formed by the Chancellor or his authorized representative. It shall consist of a minimum of five members, including a representative from the Deanship of Student Services. The

Chancellor can also form an ad hoc Committee of no specific number of members to investigate or decide on special cases.

2. The Student Plagiarism Committee (SPC) shall be formed by each College Dean. It shall consist of at least three members.

Article 5

The Committee and SPC shall meet as needed at the invitation of its chairperson or co-chair in the absence of the chairperson. The meeting shall only be valid with the presence of the majority of the Committee's members. The Committee's meetings shall be chaired by a chairperson or a co-chair in the absence of the chairperson.

Article 6

Any of the Committee's members shall be excluded if s/he is a party to or a witness in the issue under consideration.

Article 7

The Committee and SPC may seek assistance from anyone whose assistance is deemed necessary for carrying out the Committee's work, including but not limited to, a secretary and a translator from the University who will not have the right to vote. The translator shall swear an oath before starting to carry out his/her duties.

Article 8

The Committee and SPC shall issue its recommendations by majority vote of members present. In cases of equal voting, the Chairperson's side shall prevail.

Filing a Complaint

Article 9

1. Any person shall have the right to file a complaint against a student who commits a disciplinary violation.
2. All complaints shall be in writing and supported by available evidence.
3. As per the procedures herein and regardless of the outcome of a complaint, no student shall be harmed as a result of filing a complaint unless it is proved to be malicious. In such case, the Committee can recommend the necessary penalty.
4. The content of the complaint shall not be disclosed to anyone other than those involved in resolving it.

Article 10

Disciplinary violations shall be referred to the Committee (SDC) by the Chancellor or his authorized representative. Only for plagiarism cases, the concerned dean shall refer the plagiarism cases to the College-level SPC.

Article 11

Disciplinary Violations

Any breach of rules or regulations of the University or customs and traditions of the UAE shall be deemed a violation that warrants disciplinary action, including but not limited to the following:

First: Violations of the Code of Public Conduct

1. Any act that violates the rules and regulations of the university or the units affiliated to it, or disrupts the requirements of the educational process on campus or off-campus.
2. Failure to abide by the dress code and public appearance code which are consistent with public morality.
3. Failure to comply with the instructions of the university security personnel or any of the university officials while performing their duties, such as student's refusal to prove his/her identity when so required or violating the directives and guidelines issued by the university, including those relating to Covid-19.
4. Any acts or statements or hints, expressed in person or via a social media outlet on-campus or off-campus, which constitute an insult to honor or dignity, or viewed as contrary to good conduct or might bring the university or its employees to disrepute.
5. Disrupting or causing disturbance to lectures, events, conventions organized inside or outside of the university, including online class sessions, events, activities, or proceedings by whatever mean(s) or incitement to do so. It also includes any disturbance to the arrangements or safety measures taken by the university relating to Covid-19.
6. Violation or disregard of health and safety rules and guidelines specified by the university and in particular those relating to Covid-19.
7. Using the university buildings or its physical or academic assets for purposes other than those intended without obtaining a permission from the university, or attempting to damage those assets.
8. Presence in places where students are not allowed or failure to observe the time schedules for entry of students.
9. Distributing leaflets or issuing magazines without a prior written permission from the university management.
10. Placing posters in places other than the designated ones without a prior written permission from the university management, or writing on walls or furniture.
11. Misuse of any of the means of student transportation such as buses or other means of transportation.
12. Possession of devices, films, pictures, tapes, newspapers or magazines which contain materials incompatible with morality and decency within the university and its facilities, including the university residence halls.
13. Smoking or using electronic cigarettes, etc. in enclosed areas on campus or at the university housing facilities.
14. Carrying firearm or white weapons or possessing inflammable or explosive materials; possessing, using or selling drugs; circulating counterfeit money, etc.
15. Raising funds or collecting signatures without permission from the concerned authorities at the university or abusing the permission granted in this regard.
16. Using words, signs, images, graphics or any other means that offend national or religious sentiments.

17. Any behavior involving discrimination against any student or member of the university community on the basis of gender, religion, age, disability, race, nationality, color or origin.
18. Committing or attempting to commit a crime of any kind, including theft, forgery of documents or using forged documents.
19. Stealing educational materials or tests, or illegally obtaining the same.
20. Unauthorized access to the website or electronic system of the university.
21. Altering of grades or any electronically stored data.
22. Knowingly providing false information to any of the university staff, faculty or administrative units.
23. Misuse of university records, documents, accounts, proofs of personal identity and computer software.
24. Causing material or moral damage to the University in whatever form it takes.
25. Possession, consumption, distribution of alcoholic drinks or material, or being under the influence of alcohol.

Second: Violation of Academic Integrity – Plagiarism

1. An act of plagiarism is committed when one uses the ideas or work of other people and the representation as one's own original work.
2. 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
 - Online material
3. The following are deemed an act of plagiarism:
 - The submission of any work or academic activity, which is an identical copy of a section of someone else's work, without acknowledging the source and without quotation marks.
 - Submitting the same piece of work for assignments in different classes without previous permission from instructors involved. This also applies when a student submits own previous work, or combining parts of previous works with current work, without approval from all instructors involved.
 - Borrowing phrases from a source without using quotation marks, or finds synonyms for the author's language while keeping to the same general structure and meaning of the original.
 - Neglecting to cite sources, or misquotes of sources, or paraphrases a source by using similar words, groups of words, and/or sentence structure without acknowledging the source.
 - Asking or hiring others to conduct research or an academic activity on behalf of the student without prior written permission from the course instructor or supervisor of the research or academic activity in question.
 - The deliberate provision of invalid research data or false data related to an academic activity, a questionnaire, or statistical work, which the student has been assigned to do.
 - The false attribution of an innovation to one's self.
 - Copying the content of online blogs without crediting the source.
 - The use of audio-visual material without crediting the source.
 - The use of graphic illustrations, images, motion pictures, and representing them as one's own without crediting the source.

- The translation of others' work to a different language and representing it as one's own without crediting the source.

Ajman University requires its faculty members to utilize plagiarism detection software for detecting plagiarism in both text and computer programs in the materials submitted by students for all types of assessments. The faculty is also responsible to detect plagiarism in submitted figures, images, graphic illustrations, etc. Furthermore, the faculty must regularly inform students that plagiarism in all its forms is not acceptable as per the University policy.

Third: Filming, taking pictures, and forms of unacceptable behavior in the classroom including online classes

1. Using cameras on-campus (be it via mobile phones, portable computers or any other electronic devices) in a way that has a negative effect on others and the standing and image of the university.
2. Making videos to record scenes of students attending online classes or taking their pictures as shown on the screen and sharing them through social media, email, websites, or any other public or private media platform.
3. Displaying or sending offensive messages, videos, or pictures.
4. Harassing, bullying, or annoying a participant in a classroom including online classes.
5. Using inappropriate language in an educational setting including online classes.

Fourth: Violations of Housing Rules

1. Accommodating unauthorized persons without the approval of the student housing management or allowing visitors to enter the housing facilities without prior written permission.
2. Failure to comply with the instructions of the university security personnel or any of the university officials while performing their duties, such as student's refusal to prove his/her identity when so required or violating the directives and guidelines issued by the university, including those relating to Covid-19.
3. Violation or disregard of health and safety rules and guidelines specified by the university and in particular those relating to Covid-19.
4. Modifying, replacing or moving student housing items.
5. Failure to observe the quiet hours specified by the housing management.
6. Using loudspeakers inside or outside of residential halls.
7. Any violation of the housing rules and regulations.

Fifth: Violation of Examination Rules Conducted on Campus or Online

1. Violation of examination regulations, non-compliance with instructions of the examination hall supervisor or any of the invigilators, disrupting the peace and quiet of the examination, and/or causing examination delays.
2. Committing or attempting to commit any kind of cheating in an examination or assisting another student to cheat in any shape or form.
3. Providing false personal information on answer sheets or attendance list.

4. Possession or use of any communication, storage or any other electronic devices, during the exam, even if it is switched off. These include but not limited to: mobile phones, smart watches, headphones, and earphones even if switched off.
5. Possession of academic materials related to the examination subject matter in any shape or form.
6. Writing notes related to the examination subject matter on the body, dress, wall, table or any other medium.
7. Refusal to hand over the answer sheet to the examination Committee's official or any of the invigilators before the student leaves the exam hall.
8. An act of impersonation by any person from inside or outside the University by sitting an examination or presenting an assessed academic activity on behalf of another student with or without his/her knowledge or consent.
9. Involvement in any illegal activity with regard to examinations such as the leakage, stealing, distribution, selling, and/or buying of an examination related content or material.
10. Physical or verbal assault of an invigilator, student, or any other person in the examination hall.
11. Cheating in online examinations, tests, quizzes, assignments, projects, or any other form of assessed academic activity. This may include but not limited to: collaborating with one or more students or individuals in conducting assessment activities, unlawful solicitation of assistance from other individuals, unlawful use of any electronic devices or software, unlawful communications with other students or individuals, impersonation, unlawful access into online examinations' sites or question banks, fully or partially obscuring the face and head by wearing for example a cap or hat, i.e. the face and head must be in the center of the webcam view at all times, leaving the examination for a while, taking screen shots during the examination, taking a break from the examination, and any other act that violates the sanctity of fair online assessment. Proven cases are subject to the same penalties as for in-class and proctored assessment activities stipulated in Article 15.

Committee's Response to Referred Violations

Article 12

Having investigated the violation, the Committee may take one of the following recommendations:

1. Resolving the issue amicably in some cases.
2. Shelving the investigation:
 - 2.1. Because the student did not commit a violation; or
 - 2.2. Due to lack of evidence against the student.
3. Imposing one of the disciplinary penalties provided for in the subsequent articles in this policy on the student if proven to be guilty.

Disciplinary Penalties

Article 13

Penalties for Violations of Code of Public Conduct, Filming and Taking Photographs and Other Unauthorized Behaviors:

One of the following penalties shall be imposed on the student who violates the Code of Public Conduct, films and/or takes photographs, or commits other unauthorized behaviors including online sessions, events, or activities:

1. Verbal warning.
2. Written warning.



3. 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 with or without refund of fees.
4. 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.
5. Depriving the student of completing the whole semester in which the violation is committed; awarding a failing grade on all of the semester courses s/he is enrolled on and obligating him/her to pay the fees.
6. Suspension from study for one or more upcoming semester.
7. Expulsion of the student from University and awarding him/her a failing grade on all of the courses of the semester in which the violation is committed, with taking benefit from the academic records, and obligating him/her to pay the fees.
8. Expulsion of the student from University and awarding him/her a failing grade on all of the courses of the semester in which the violation is committed, without taking benefit from his/her academic records, and obligating him/her to pay the fees.

Article 14

Penalties for University Housing Violations

One of the following penalties shall be imposed on the student who violates the regulations of the University Housing:

1. Verbal or written warning.
2. Depriving the student of having all or some of the housing privileges, with or without refund of fees.
3. Transfer of the student from the floor or building where s/he resides with or without refund of fees.
4. Temporary or final eviction from University housing with or without refund of fees.
5. Expulsion of the student from University and awarding him/her a failing grade on all of the courses of the semester in which the violation is committed, with taking benefit from the academic records, and obligating him/her to pay the fees.
6. Expulsion of the student from University and awarding him/her a failing grade on all of the courses of the semester in which the violation is committed, without taking benefit from his/her academic records, and obligating him/her to pay the fees.

Article 15

Disciplinary Penalties for Violations of Examination Rules

1. A written warning is issued for every student committing a violation as described by Article 11, Section 5, Item 1. Subsequent repeats of the offense in future examinations result in a failing grade (grade X) for the course and the case shall be noted in the student's file and his/her transcript marked with "X" for that course.
2. A student committing one or more examination violation described by Article 11, Section 5, Items 2, 3, 4, 5, 6, 7 and 11 for the **first time** will be awarded a failing grade (grade X) for the course in which the student committed the violation. The student shall pay the full course fee. The cheating case shall be noted in the student's file and his/her transcript marked with "X" for that course.
3. A student committing one or more examination violation described by Article 11, Section 5, Items 2, 3, 4, 5, 6, 7 and 11 for the **second time** will be awarded a failing grade (grade X) for **all courses registered in the semester** in which the student commits the violation. The student shall pay the full course fee for all courses registered in the semester. The cheating case shall be noted in the student's file and his/her transcript marked with "X" for all the courses registered in the semester.

4. A student committing one or more examination violation described by Article 11, Section 5, Items 2, 3, 4, 5, 6, 7 and 11 for the **third time** will be awarded a failing grade for ***all courses registered in the semester*** in which the student commits the violation and will be suspended for the following two semesters. The student shall pay the full course fee for all courses registered in the semester. The cheating case shall be noted in the student's file and his/her transcript marked with "X" for all the courses registered in the semester. If the student decides to transfer from the University, the student can benefit from his/her academic record.
5. A student committing one or more examination violation described by Article 11, Section 5, Items 2, 3, 4, 5, 6, 7 and 11 for the **fourth time** will be awarded a failing grade for ***all courses registered in the semester*** in which the student commits the violation and ***will be expelled from the University***. The student shall pay the full course fee for all courses registered in the semester. The cheating case shall be noted in the student's file and his/her transcript marked with "X" for all the courses registered in the semester. If the student decides to transfer from the University, the student can benefit from his/her academic record.
6. A student involved in an act of impersonation described in Article 11, Section 5, Item 8 and 11 (as an impersonator or as the student being impersonated) will be awarded a failing grade for ***all courses registered in the semester*** in which the violation was committed and ***will be suspended from the University for one semester***. This penalty will apply if the impersonation offense is committed for the ***first time***. Both students shall pay the full course fee for all courses registered in the semester. The impersonation case shall be noted in each student's file and his/her transcript marked with "X" for all the courses registered in the semester. Any student involved who decides to transfer from the University can benefit from his/her academic record. The University may pursue other forms of legal action if the impersonator is not an Ajman University student (i.e. a person from outside the University or an employee of the University). ***A repeat of this offense will result in expulsion from the University*** and a failing grade awarded to all courses registered in the semester and marked with "X". The full course fee for all courses registered in the semester shall be paid. In addition, the student involved cannot benefit from his/her academic record when the offense is committed a second time.
7. Any student involved in the leakage, stealing, illegal distribution, selling, and/or buying of an examination related content or material will be awarded a failing grade for ***all courses registered in the semester*** in which the violation was committed and ***will be expelled from the University***. The cheating case shall be noted in the student's file and his/her transcript marked with "X" for all the courses registered in the semester. The student shall pay the full course fee for all courses registered in the semester. The student cannot benefit from his/her academic records. The University may take further legal action against any person involved.
8. In the case of physical or verbal assault by a student in an examination hall, one of the penalties mentioned Article 13 shall be imposed on the student.
9. Upon a written request submitted by the student to the Office of Registration, not before his/her last Semester at the University, the "X" mark may be removed from his/her transcript if there is no more than one course marked with "X" in the transcript.

Article 16

Disciplinary Penalties for Violations of Academic Integrity – Plagiarism

1. 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 shall refer the case file to the SPC. The SPC will take one of the following actions as appropriate:



- 1.1. If the student has no previous record of plagiarism in any course, a zero grade is given to the submitted work.
- 1.2. A student committing a second plagiarism offense in any course (not necessary the same 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".
- 1.3. A student committing a third plagiarism offense in any course (not necessary the same courses) 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.
- 1.4. A student committing a fourth plagiarism offense in any course (not necessary the same courses) will be suspended from the University for two semesters, and 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.
- 1.5. A student committing a fifth plagiarism offense in any course will be expelled from the University, and 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.
2. The student will have to pay the fees for all courses. However, s/he can benefit from his/her academic record.
3. Upon a written request submitted by the student to the Office of Registration, not before his/her last Semester at the University, the "XF" mark may be removed from his/her transcript if there is no more than one course marked with "XF" in the transcript.
4. 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.

Article 17

1. In addition to the penalties stated in the Student Disciplinary and Academic Integrity Policy that do not result in student expulsion from the University, any student committing academic integrity or examination rules violations may be referred to the following offices of the Deanship of Student Services for appropriate action that helps the student comply with the rules in the future:
 - 1.1. Counseling Unit, the student shall attend one or more workshops and/or counseling sessions as determined and organized by the Unit.
 - 1.2. Student Success Center, the student will attend one or more sessions organized by the center to instill values of academic integrity and success. The number of sessions is determined by the center.
 - 1.3. Office of Student Life, the office will assign four to ten hours of community service on or off University Campus.
2. The student is required to attend and conduct these events/sessions as fixed by the Committee. Should the student fail to attend the prescribed events above, he/she will be referred to the Student Disciplinary Committee.

Article 18

The same penalty imposed on a student violating Article "disciplinary violation", Section 2 (Violation of Academic Integrity – Plagiarism) or Section 5 (Violation of Examination Rules) shall be imposed on his/her accomplices.

Article 19

The Committee and the SPC may accordingly take possession of all materials and tools used in the cheating and plagiarism cases up until the end of the investigation.

Article 20

Under all circumstances, the University shall have the right to hold the student responsible for the cost of any damage s/he causes, including for example, the value of the damaged item, cost of repair and installation, as well as the lost profit and other consequential damage.

Investigation Summons

Article 21

No penalty provided for in the previous articles shall be imposed before conducting a recorded investigation with the student, hearing his/her statements on the accusations leveled against him/her and giving him/her the opportunity to defend himself/herself. Should the student refuse to appear before the investigation Committee or SPC, or is absent twice without an acceptable excuse despite being instructed to attend, the Committee or SPC shall proceed with the case in absentia as if s/he were present. The Committee or SPC may hear the testimony of witnesses if so required or deemed appropriate.

Article 22

1. The violating student shall be summoned to appear before the Committee at least twenty-four (24) hours before the hearing date.
2. In urgent cases (especially violations of examination rules), the Committee has the right to ask the student to appear before the Committee in less than 24 hours, provided that the student is notified in person. S/he shall be regarded as having been notified even if s/he refuses to sign the acknowledgement of receipt of the notice to appear.
3. 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 Registration shall be legal and acceptable. Notices via email will be deemed to have been delivered, received, and known by the student 1 (one) calendar day after confirmed transmission.
4. The student may be notified at the exam hall. Refusal to sign the notice to appear or the incident report will not invalidate the notice which shall remain valid and enforceable.

Article 23

Should anyone, including the student, behave in such a manner that might disrupt the proceedings of the investigation session or refuse to comply with the instructions of the Committee's chairperson, the chairperson may order his/her removal from the hearing room.

Article 24

The investigation report shall be documented.

Article 25

A student accused of violating the code of conduct is entitled to respond to the accusation verbally or in writing or by submitting documents related to the accusation levelled against him/her.

Article 26

The Committee, within no more than seven working days of concluding the investigation, shall submit its recommendation along with the complete file of the case to the Chancellor or his authorized representative for approval. The SPC shall submit its report to the Dean.

Safeguards for Imposing Disciplinary Penalties

Article 27

Upon imposing disciplinary penalties, the following guidelines shall be observed:

First: The disciplinary penalty shall be commensurate with the violation committed. In imposing the penalties provided for in this policy the magnitude of the violation, the student's precedents and his circumstances may be observed.

Second: The grounds on which the Committee has based its recommendation shall be spelt out.

Notifying and Filing Disciplinary Decisions

Article 28

The Chancellor's decision might not match the recommendation of the Committee for a justified reason. The Chancellor's Office shall notify the Office of Registration and the Deanship of Student Services of the decision, within no more than one week as of its date of issue so as to put the decision into action.

The Deanship of Student Services shall, within a week of its receipt, notify the disciplinary decision in writing to the student and the University offices concerned with the implementation of the decision.

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 Registration shall be legal and acceptable.

The Dean shall notify the decision of the SPC to the Office of Registration within no more than one week of its date of issue. The Dean's office shall notify the decision to the concerned student.

Article 29

Decisions related to disciplinary penalties shall be kept in the student's file along with his/her academic record. The penalties may be made public as per a recommendation by the Committee which issues the penalty and the approval of the Chancellor or his authorized representative.

Article 30

Disciplinary decisions or their content may not be released to any media outlets except by the Chancellor or his authorized representative.

Article 31

The Deanship of Student Services shall follow up the decision taken against the student and put it into action. It shall also take whatever action deemed conducive to the student's behavior modification and submit a report on the outcome to the Dean of Student Services, making any appropriate recommendations.

Appealing Against Disciplinary Decision or against SPC Decision

Article 32

1. The student may appeal the disciplinary decision issued against him/her 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/her being notified of the decision, 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 the student proves one or more of the following:
 - Failure to observe the investigation procedures provided for in the University policies.
 - Emergence of previously unknown evidence which might have influenced the decision.
 - The disciplinary penalty 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 to a different ad hoc committee for re-consideration.
4. Appealing a disciplinary decision shall not lead to the aggravation of penalty against the appellant.
5. The Chancellor's decision might not match the recommendation of the Committee for a justified reason. His decision is final.
6. A student has the right to file an appeal against the decision of the SPC to the Dean of the College. The decision of the Dean will be final, except in the case of suspension, expulsion, or awarding a failing grade on one or more courses. In these cases, the student may appeal to the Chancellor who shall refer the case to a different ad hoc committee for re-consideration. The decision of the Chancellor will be final.

General Provisions

Article 33

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 Registration shall be legal and acceptable.

Article 34

In case of a conflict between the provisions of this policy and the provisions of any other policy or manual, the provisions of this policy shall apply and prevail. And in case of a conflict between the Arabic version of this policy with a version in another language, the English version shall apply and prevail.

Article 35

The SDC Committee may recommend on matters not covered by the provisions of this policy.

In case of Plagiarism, the Dean can decide on matters not covered by the provisions of this policy.

Article 36

Any exceptions to this policy must be well justified and escalated to the Chancellor for a final decision.



Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	27/02/2020	New policy – Merging between existing policies(disciplinary policy and academic integrity policy)	Vice Chancellor for Academic Affairs
V 2.0	12/06/2020	Revised policy – Removed specific names of plagiarism software, and added COVID-19-related content on two sections: Violation of Housing rules and Disciplinary Violations	Vice Chancellor for Academic Affairs
V 2.1	20/12/2020	Updates relevant to online examination	Vice Chancellor for Academic Affairs
V 2.2	02/09/2022	Minor updates relevant to plagiarism	Vice Chancellor for Academic Affairs

Student Grade Appeal Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of Registration
Approved By	Chancellor	Effective Date	March 2023
		Next Review Date	March 2026

Purpose

The student grade appeal is a request for review of a decision made with respect to a student's grade. This policy, which applies to all students enrolled at Ajman University, provides a means to request reconsideration of the grade decision without risk of disadvantage.

Definition

Informal Resolution: Informal Resolution is an alternative to a Grade Appeal that may be used to address students' concerns relevant to their grade. The objective of Informal Resolution is to allow the individual parties (student/instructor) to successfully achieve a resolution without the need for a formal appeal.

Statement

Grade Complaints concerning final examination results need to be submitted within 15 calendar days following the announcement of examination results. Students may appeal a final grade after it has been posted through formal procedures, and their requests will be answered before the beginning of the next academic semester. Students wishing to appeal a final examination grade result must adhere to the following procedure.

Grade Appeal Procedure

1. The student can seek advice and guidance from his/her advisor and/or the course instructor to avail of the opportunities for early and/or informal resolution. In this case, if the matter is not resolved with the instructor through informal resolution, the student may submit an online request through the Online Request System (ORS) Grade Appeal, which is routed to the Office of Registration.
2. The Office of Registration will screen the request to ensure the validity of the request.
3. Upon approval from the Office of Registration, the request is routed to the Office of Finance for charges allocation.
4. The request is then routed to the concerned college where deliberations are conducted and the decision is taken. Upon receiving the request, the college forms a three-member committee that includes the instructor of the course. The committee will meet and review the grade calculation to determine computational, or clerical error or something contrary to the policies and procedures stated in the course syllabus. The deliberation and decision of the grade appeal should be completed by the college within two weeks from receiving the request.
5. In the event the appeal is rejected by the college, an automated email is sent to the student notifying him/her of the decision. The student can also access the system to check online the Grade Appeal (complaint) status.
6. In the event the appeal is approved by the college, the decision will be routed to the Office of Registration to reflect the approved grade change on the student academic record.



7. The student will receive an email notification on his/her university email that the request is completed and the change of grade has taken place. The student is able to verify the completed status of the request by accessing the online system.
8. The Office of Registration shall maintain electronic records of appeals and complaints whether approved or rejected.

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
V 2.0	19/02/2020	New policy - provide students the possibility to request a grade decision review	Office of Admissions and Registration
V 2.1	23/03/2023	The policy has been updated to reflect “informal resolution”	Vice Chancellor for Academic Affairs

Student Activity Policy

Policy Owner	Director of Student Life	Responsible Office	Office of Student Life
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 2024

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.
- c. The Club's Board Members shall name an Advisor from among the members of the academic or administrative bodies. S/he shall be responsible for supporting, mentoring and guiding the club.
- d. The budget for each student club is determined at the beginning of the academic year, and the Clubs' Presidents shall be notified. The Club President shall request the budget for each event at a time through the ORS system at least 5 working days prior to the event to get the required approval. S/he shall reimburse the official expenses receipts with the remaining amount, if any, after the event and within 3 working days.

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 in line 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.
4. Any student who is found in violation of the Student Disciplinary and Academic Integrity Policy or UAE laws will not be eligible for board election to clubs/communities. All nominees will be subject to background checks, and the Management reserves the right to remove those who are found in violation of the Student Disciplinary and Academic Integrity Policy or UAE laws from the election process.

Conduct of Students on Student Council or Boards of Registered Clubs/Communities

Students on Student Council or on the boards of registered clubs/communities are considered role models for their peers. AU expects all board members to adhere to the highest standards of ethical behavior. A student on any board who is found in violation of the Student Disciplinary and Academic Integrity Policy or UAE laws during his/her tenure will be immediately ejected from the club/organization and discharged of his/her responsibilities from the date of receiving the notification from the Dean of Student Services.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
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
V 1.3	16/02/2021	Student clubs – advisor and budget-related procedures	Director of Student Life
V 1.4	02/05/2021	Updated Club/Community Nomination and added Conduct of Students on Student Council or Boards of Registered Clubs/Communities	Director of Student Life

Student and Alumni Travel Policy

Policy Owner	Deanship of Student Services	Responsible Office	Office of Student Life
Approved By	Chancellor	Effective Date	Aug. 2022
		Next Review Date	Aug. 2025

Purpose

This policy aims to promote a safe travel environment for Ajman University (AU) Students, Alumni and Visiting Students, who may participate in the events or activities organized by the University across the UAE or overseas. This policy supersedes any previous or related policies, procedures, minutes, manuals, handbooks, and bylaws.

Scope

This policy applies to all AU enrolled and visiting students; be they undergraduate or graduate students, or alumni participating in approved domestic or international event or activity. These shall include the following:

- Organized or sponsored trips by recognized AU student organizations.
- Organized or sponsored trips by AU colleges/offices.
- Course-related field trips.

This policy does NOT apply to:

- Domestic sports games and friendly matches.
- Students travelling as spectators to sports and/or other events.
- Any trip organized without prior approval from the University.

Definitions

Student - All persons registered for studying at AU.

Visiting Student - All persons unregistered for studying at AU and are guest attendees of on-campus lectures/activities.

Exchange Student - All persons registered for studying at AU for maximum (2) semesters.

Student Organization – All student councils, clubs, communities, and societies whose registration and formation are approved by the Office of Student Life.

Alumni - Former AU students who have successfully completed their studies.

Inbound - All international guest students who are not part of AU Community.

Outbound - AU students visiting international partners for a study tour or semester exchange.

Organized Event - An activity initiated and/or arranged/managed by an AU college/office or recognized student organization as defined above.

Sponsored Event - An activity endorsed by AU through financial support or by sending students to participate in any activity as official representatives of the University.

Domestic Travel - Any trip or travel within UAE.

International Travel - Any trip or travel outside UAE.

Chaperon - AU faculty or staff assigned to accompany the students/alumni during a domestic or international trip/travel.

Statements

Student and alumni travel must meet the following requirements:

- The purpose of the travel must be consistent with the mission of the University, as well as the mission and goals of the organizing college/office or any of the recognized student organizations across AU.
- Students/Alumni must comply with the Code of Conduct and other University policies and procedures as well as the chaperone(s) assigned by the authorizing College/Office.
- Students/Alumni must complete and provide the authorizing College/Office with forms such as, but not limited to, Waiver of Liability, NOC, Travel Agreement, and Emergency Contact Information.
- Student Non-Academic domestic travels must be endorsed by the Manager of Activities and Development/Athletics and approved by the Director of Student Life.
- Student Non-Academic international travels must be endorsed by the Dean of Student Services and approved by the Vice Chancellor for Academic Affairs.
- Academic domestic travels must be endorsed by the Head of the organizing department and approved by the Dean of the concerned college.
- Academic international travels must be endorsed by the Dean of the concerned college and approved by the Vice Chancellor for Academic Affairs.
- Alumni domestic/international travels must be endorsed by the Manager of Alumni Office and approved by the Vice Chancellor for Advancement and Communication.
- Students/Alumni trips must be accompanied by chaperone(s) - 1 to 10 Students and 1 to 15 Alumni for international travels, and 1 to 20 Students/Alumni for domestic travels. A chaperone is not required for outbound exchange programs.
- AU employees, when serving as chaperones during Students/Alumni trips, shall strictly observe and be subject to the terms and conditions of the Business Travel Policy - specifically approval cycle, benefits and allowances (i.e. air tickets, accommodation, per diem and other daily stuff).
- All travel-related costs of the chaperones shall be covered from the budget of the organizing unit as part of the trip costs.
- Inbound exchange students are subject to this policy during their tenure at Ajman University.
- Travel Proposals shall be approved based on the nature of the proposed trip. The University management reserves the right to ask for modifications in any proposal or adding certain restrictions to ensure students/alumni's safety during the trip.
- Students/Alumni must completely abide by all the arrangements approved by the University in the local or international travels. They are not allowed to change the airline carrier, hotels, or any other related arrangements.
- Travel insurance must be secured by the organizing college/office for all students, alumni and chaperones participating in international trips as part of the travel arrangements.
- The University shall not be bound to compensate students, alumni or chaperones for any personal expenses that are not part of the approved trip details/program.

Procedures

1.1. Domestic Travels

1.1.1. *Non-Academic*

1. Activity supervisors email a detailed event proposal, along with required documents and information to the Manager of Activities and Development/Athletics at least 10 working days prior to the trip date. The proposal must include the purpose of the trip, required budget (if any), date, time, destination, transportation, a list of participants, including their AU IDs, emails, mobile numbers, along with the name and phone number of the responsible chaperone(s) to accompany the students all the time during the travel or activity.



2. Manager of Activities and Development/Athletics emails a detailed event proposal to the Director of Student Life for approval.
3. Trip proposals must be endorsed by the Manager of Activities and Development/Athletics and approved by the Director of Student Life.

1.1.2. Academic

1. Faculty members/ staff email a detailed event proposal, along with required documents and information to the head of the organizing department at least 10 working days prior to the trip date. The proposal must include the purpose of the trip, required budget (if any), date, time, destination, transportation, a list of participants, including their AU IDs, emails, mobile numbers, along with the name and phone number of the responsible chaperone(s) to accompany the students all the time during the travel or activity.
2. The head of the organizing department emails a detailed event proposal to the Dean of the concerned college for approval.
3. Trip proposals must be endorsed by the head of the organizing department and approved by the Dean of the concerned college.

1.2. International Travel

1.2.1. Non-Academic

1. Upon request, the Director of Community Engagement informs the Director of Student Life with required visa documents and provides three quotations and itineraries for the trip from AU approved vendors.
2. The Director of Student Life emails a detailed event proposal, along with the required documents and information to the Dean of Student Services three months prior to the trip date for approval. The proposal must include the purpose of the trip, itinerary, quotation(s), required budget (if any), date, time, destination, transportation, number of participants, along with the name and phone number of the responsible chaperone(s) to accompany the students all the time during the travel or activity.
3. Following approval of the Dean of the Student Services, the Director of Student Life submits the endorsed trip proposal to the Office of Budget and Planning and the Vice Chancellor for Academic Affairs two months prior to the trip date for final approval.
4. The Office of Student Life requests the office of Finance to open an account for the trip so that participants make their payments (if any) to this account.
5. The Office of Student Life announces the trip to AU students through the channels suggested by the Office of Marketing and Communication.
6. The Manager of Activities and Development/Athletics must coordinate with the Office of Finance to ensure that the total costs of the travel/activity have been deposited into the University's account. S/he shall email the Director of Student Life on the same to confirm the deposit and final number of confirmed participants.
7. The Director of Community Engagement conducts, or facilitates, an orientation on completing the visa application form and the required documents to the chaperone(s) two months prior to the trip date.
8. The Chaperone(s) conducts an orientation for completing the visa application form and the required documents to the participants. Filling the visa application is the applicant's responsibility.
9. The Office of Student Life submits approved quotation, complete application forms, a list of participants including their nationalities, passport number, passport expiry date, UAE residence expiry date (if any), sponsors, date of birth, AU IDs, emails, mobile numbers, along with the required visa documents to the Director of Community Engagement 45 days prior to the trip date.

10. The Office of Community Engagement reviews the received documents and issues additional documents from its end if needed.
11. The Office of Community Engagement books appointments for visa submission.
12. The Chaperone(s) can arrange transportation for the participants requiring visa to the respective embassy/consulate/visa center.
13. Applicants/Office of Community Engagement submits the required visa documents to the respective embassy/consulate/visa center.
14. Applicants/Office of Community Engagement collects the passports upon process completion and submits the passports to the chaperone(s).
15. Upon visa approval, the chaperone(s) distributes waiver of liability, parental NOC, travel agreement and emergency information forms to the participants.
16. The Chaperone(s) ensures that the participants have completed the forms and collects them back.
17. The Director of Community Engagement coordinates with the travel agent for hotel booking, flight ticket, etc.
18. The Director of Student Life informs the office of Finance to release the payment to the Service Provider according to the agreed payment terms.
19. The Chaperone(s) conducts pre-departure orientation which includes a discussion of appropriate and expected behavior for participants, itinerary and emergency procedures in case of incidents.
20. The Chaperone(s) shall submit a report to the line manager after they return to AU.
The University may organize student Haj or Umrah trips. Due to the special nature of such trips, the University shall hire a licensed agency to help with required visas in accordance with the regulations of the Kingdom of Saudi Arabia authorities. This agency shall act under the supervision of the Office of Community Engagement.

1.2.2. Non-Academic/Community Service

1. Upon request, the Director of Community Engagement informs the Head of Community Service with the required visa documents and provides three quotations and itineraries for the trip from AU approved vendors.
2. The Director of Community Engagement emails a detailed event proposal, along with the required documents and information to the Vice Chancellor for Advancement and Communication three months prior to the trip date for approval. The proposal must include the purpose of the trip, itinerary, quotation(s), required budget (if any), date, time, destination, transportation, number of participants and the name and phone number of the responsible chaperone(s) to accompany the students all the time during the travel or activity.
3. Following the approval of the Vice Chancellor for Advancement and Communication, the Director of Community Engagement submits the approved trip proposal to the Office of Budget and Planning two months prior to the trip date.
4. The Office of Community Engagement requests the Office of Finance to open an account for the trip so that students make their payments (if any) to this account.
5. The Office of Community Engagement announces the trip to AU students through the channels suggested by the Office of Marketing and Communication.
6. The Head of Community Service must coordinate with the Office of Finance to ensure that the total costs of the travel/activity have been deposited into the University's account. S/he shall email the Director of Community Engagement on the same to confirm the deposit and final number of confirmed participants.
7. The Director of Community Engagement conducts, or facilitates, an orientation on completing the visa application form and the required documents to the chaperone(s) two months prior to the trip date.



8. The Chaperone(s) conducts an orientation for completing the visa application form and the required documents to the participants. Filling the visa application is the applicant's responsibility.
9. The Head of Community Service submits approved quotation, complete application forms, a list of participants including their nationalities, passport number, passport expiry date, UAE residence expiry date (if any), sponsors, date of birth, AU IDs, emails, mobile numbers, along with the required visa documents to the Director of Community Engagement 45 days prior to the trip date.
10. The Office of Community Engagement reviews the received documents and issues additional documents from its end if needed.
11. The Office of Community Engagement books appointments for visa submission.
12. The Chaperone(s) can arrange transportation for the participants requiring visa to the respective embassy/consulate/visa center.
13. Applicants/Office of Community Engagement submits the required visa documents to the respective embassy/consulate/visa center.
14. Applicants/Office of Community Engagement collects the passports upon process completion and submits the passports to the chaperone(s).
15. Upon visa approval, the chaperone(s) distributes waiver of liability, parental NOC, travel agreement and emergency information forms to the participants.
16. The Chaperone(s) ensures that the participants have completed the forms and collects them back.
17. The Director of Community Engagement coordinates with the travel agent for hotel booking, flight ticket, etc.
18. The Director of Community Engagement informs the Office of Finance to release the payment to the Service Provider according to the agreed payment terms.
19. The Chaperone(s) conducts pre-departure orientation which includes a discussion of appropriate and expected behavior for participants, itinerary and emergency procedures in case of incidents.
20. The Chaperone(s) submits a report to the line manager after they return to AU.

1.2.3.Academic

1. Upon request, the Director of Community Engagement informs the head of the organizing department with the required visa documents and provides three quotations and itineraries for the trip from AU approved vendors.
2. The Head of the organizing department emails a detailed event proposal, along with the required documents and information to the Dean of the concerned college three months prior to the trip date for approval. The proposal must include the purpose of the trip, itinerary, quotation(s), required budget (if any), date, time, destination, transportation, number of participants and the name and phone number of the responsible chaperone(s) to accompany the students all the time during the travel or activity.
3. Following the approval of the Dean of the concerned college, the head of the organizing department submits the endorsed trip proposal to the Office of Budget and Planning and the Vice Chancellor for Academic Affairs two months prior to the trip date for final approval.
4. The head of the organizing department requests the Office of Finance to open an account for the trip so that student make their payments (if any) to this account.
5. The Dean of the concerned college's office announces the trip to AU students through the channels suggested by the Office of Marketing and Communication.
6. The head of the organizing department must coordinate with the Office of Finance to ensure that the total costs of the travel/activity have been deposited into the University's account. S/he shall email the Dean of the concerned college on the same to confirm the deposit and final number of confirmed participants.

7. The Director of Community Engagement conducts, or facilitates, an orientation on completing the visa application form and the required documents to the chaperone(s) two months prior to the trip date.
8. The Chaperone(s) conducts an orientation for completing the visa application form and the required documents to the participants. Filling the visa application is the applicant's responsibility.
9. The head of the organizing department/chaperone(s) submits approved quotation, complete application forms, a list of participants including their nationalities, passport number, passport expiry date (if any), UAE residence expiry date, sponsors, date of birth, AU IDs, emails, mobile numbers, along with the required visa documents to the Director of Community Engagement 45 days prior to the trip date.
10. The Office of Community Engagement reviews the received documents and issues additional documents from its end if needed.
11. The Office of Community Engagement books appointments for visa submission.
12. The Chaperone(s) can arrange transportation for the group of participants requiring visa to the respective embassy/consulate/visa center.
13. Applicants/Office of Community Engagement submit the required visa documents to the respective embassy/consulate/visa center.
14. Applicants/Office of Community Engagement collects the passports upon process completion and submits the passports to the chaperone(s).
15. Upon visa approval, the chaperone(s) distributes waiver of liability, parental NOC, travel agreement and emergency information forms to the participants.
16. The Chaperone(s) ensures that the participants have completed the forms and collects them back.
17. The Director of Community Engagement coordinates with the travel agent for hotel booking, flight ticket, etc. (refundable tickets and hotel bookings should be made at the time of visa application).
18. The head of the organizing department informs the Office of Finance to release the payment to the Service Provider.
19. The Chaperone(s) conducts pre-departure orientation which includes a discussion of appropriate and expected behavior for participants, itinerary and emergency procedures in case of incidents.
20. The Chaperone(s) shall submit a report to the Dean of concerned college after they return to AU.
21. For inbound exchange students, the Office of Community Engagement shall assume arrangements for their stay in UAE (visa, security clearance, etc.). The Office of Community Engagement shall further provide accommodation options if exchange students opt for not staying at the AU hostel. The inbound exchange students shall be solely responsible for making travel arrangements.
22. For inbound visiting students, the Office of Community Engagement shall make necessary accommodation arrangements, upon request. The visiting students are solely responsible for their travel and visa arrangements.

1.2.4. Alumni

1. Upon request, the Director of Community Engagement informs the Manager of the Office of Alumni with the required visa documents and provides three quotations and itineraries for the trip from AU approved vendors.
2. The Manager of the Office of Alumni emails a detailed event proposal, along with the required documents and information to the Vice Chancellor for Advancement and Communication three months prior to the trip date for approval. The proposal must include the purpose of the trip, itinerary, quotation(s), required budget (if any), date, time, destination, transportation, number



- of participants and the name and phone number of the responsible chaperone(s) to accompany the students all the time during the travel or activity.
3. Following the approval of the Vice Chancellor for Advancement and Communication, the Manager of the Office of Alumni submits the approved trip proposal to the Office of Budget and Planning two months prior to the trip date.
 4. The Office of Alumni requests the Office of Finance to open an account for the trip so that alumni make their payments (if any) to this account.
 5. The Office of Alumni announces the trip to AU Alumni through the channels suggested by the Office of Marketing and Communication.
 6. The Senior Officer of Database and Communication in the Office of Alumni must coordinate with the Office of Finance to ensure that the total costs of the travel/activity have been deposited into the University's account. S/he shall email the Manager of Alumni on the same to confirm the deposit and final number of confirmed participants.
 7. The Director of Community Engagement conducts, or facilitates, an orientation on completing the visa application form and the required documents to the chaperone(s) two months prior to the trip date.
 8. The Chaperone(s) conducts an orientation for completing the visa application form and the required documents to the participants. Filling the visa application is the applicant's responsibility.
 9. The Office of Alumni submits approved quotation, complete application forms, a list of participants including their nationalities, passport number, passport expiry date, UAE residence expiry date (if any), sponsors, date of birth, AU IDs, emails, mobile numbers, along with the required visa documents to the Director of Community Engagement 45 days prior to the trip date.
 10. The Office of Community Engagement reviews the received documents and issues additional documents from its end if needed.
 11. The Office of Community Engagement books appointments for visa submission.
 12. The Chaperone(s) can arrange transportation for the participants requiring visa to the respective embassy/consulate/visa center.
 13. Applicants/Office of Community Engagement submits the required visa documents to the respective embassy/consulate/visa center.
 14. Applicants/Office of Community Engagement collects the passports upon process completion and submits the passports to the chaperone(s).
 15. Upon visa approval, the chaperone(s) distribute waiver of liability, parental NOC, travel agreement and emergency information forms to the participants.
 16. The Chaperone(s) ensures that the participants have completed the forms and collects them back.
 17. The Director of Community Engagement coordinates with the travel agent for hotel booking, flight ticket, etc.
 18. The Manager of the Office of Alumni informs the Office of Finance to release the payment to the Service Provider.
 19. The Chaperone(s) conducts pre-departure orientation which includes a discussion of appropriate and expected behavior for participants, itinerary and emergency procedures in case of incidents.
 20. The Chaperone(s) submits a report to the line manager after they return to AU.
- The University may organize student Haj or Umrah trips. Due to the special nature of such trips, the University shall hire a licensed agency to help with required visas in accordance with the regulations of the Kingdom of Saudi Arabia authorities. This agency shall act under the supervision of the Office of Community Engagement

2. Emergency

In case of emergency, participants in any event organized by the University shall immediately contact the chaperone(s) who must in turn contact his/her line manager at once.

3. Funding

- For international travels, the expenses of all chaperones must be included in the total cost of the trip if it is fully covered by the Students/Alumni. This includes all travel-related expenses and per diem allowances payable to the chaperone(s) as per the employees business travel policy.
- If the student(s) are partially sponsored by the University, the Deanship of Student Services or the Dean of respective college may refer to the Student Support Fund for covering the trip expenses.

4. Refund

- In case of rejecting a participant's visa, s/he shall bear the related charges (if any).
- If the participant (Student/Alumnus) decides to cancel the travel, s/he shall reimburse Ajman University all nonrefundable fees. The refundable amounts shall be decided by the organizing college/office, and communicated to the Office of Finance.
- If AU decides to cancel the event/travel/activity for any reason other than visa rejection or security concerns, the University shall reimburse the student/alumni any fees they have paid.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	01/09/2019	Initial Policy	Office of Student Life
V 1.1	30/08/2022	The policy has been reviewed and no changes were made.	Office of Student Life

Student Rights and Responsibilities Policy

Policy Owner	Vice Chancellor of Academic Affairs	Responsible Office	Deanship of Student Services
Approved By	Chancellor	Effective Date	Mar. 2023
		Next Review Date	Mar. 2026

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 student members enrolled at Ajman University.

Student rights

The Deanship of Student Services (DSS) is responsible for ensuring that the academic staff and non-academic staff are informed of the rights of students.

Each academic advisor is responsible for ensuring that his/her advisees are aware of their rights during their study at AU.

Every 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.
- expect that his/her Instructors master the subject and are open to discussion of different points of view or ideas related to the content of the course.
- object if changes are made to the timings in the schedule of his/her courses after the end of the Add/Drop Period.
- be received by his/her instructors during office hours, which are published by the Instructors.
- receive, on time, the copy of his/her assignment, quiz, project, Lab report, after having been graded by the Instructor.
- submit a Grade Appeal request about his/her Final Grade within two weeks of the announcement of the results.
- request an adequate learning environment atmosphere during his/her lecture
- request a meeting with his respective instructor/advisor regarding any academic issue; if the problem is not closed by the instructor/advisor, the student may request a meeting with higher college administrators (i.e. HoD and Dean) until a final resolution is made as per the rules and regulations of the University.
- In the rare event that the case is not closed by the College, the student may request a meeting with the VCAA after informing the Dean of the College .
- A student has the right to expect that academic and professional processes are flexible and periodically open to review and to participate constructively with faculty and administration in those processes by which the University community maintains the excellence of the standards of its curriculum and methods of instruction and the viability of its total educational program
- Students have the right not to be discriminated against for reasons of age, creed, ethnic or national origin, gender, disability, or any other protected class as described by law
- Students have the right to enjoy free short-term counseling sessions, where the University is legally and ethically required to uphold standards of confidentiality.

- m. Students have a right to a detailed and complete course outline for every course in which they are registered, to be provided during the first week of class. This information should include, where appropriate:
 - (i) A description of the topics to be considered in the course,
 - (ii) A list of required and recommended readings or other materials,
 - (iii) A description of the means of evaluation to be used in the course,
 - (iv) Instructor's contact information, office location, and office hours as appropriate.
- n. Students have a right to be informed, in a timely fashion, of their current academic standing or performance in a course
- o. Students with special needs have the right to a determination of available support services
- p. There is an ongoing removal of architectural barriers that limit students with special needs from full participation in University life; the Barrier-Free Standards are applied to all renovation and new construction at the university

Student Responsibilities

- a. Each student is required to be aware of and abide by the policies and regulations that are published in the student handbook/catalog published on the University website.
- b. Each student is responsible for checking his/ her University e-mail, which is the official communication channel between the student and the University.
- c. Each student is responsible for abiding by the dates and deadlines stipulated in the University's academic calendar.
- d. To be converted to regular student, a conditionally admitted students is responsible to fulfil the conditions as per his/her admission requirements.
- e. Each student is responsible for making progress to achieve his/her educational goal.
- f. Each student is responsible for the selection of his/her courses after consultation with his/her academic advisor.
- g. Each student is responsible to ensure that his/her registered courses are not altered after the Add/Drop period.
- h. To avoid any interruptions in his/her registration and services, each student must ensure that the tuition fees are paid as per the payment schedule and deadline specified by the University.
- i. Each international student should be aware that the University is not responsible for securing a residence visa for him/her if his/her visa application was declined by the relevant governmental authorities.
- j. Each student is responsible to be fully compliant with the University Code of Public Conduct as defined in the Student Disciplinary and Academic Integrity Policy.
- k. Each student should be aware that failure to submit authentic admission documents will result in serious consequences that may lead to his/her dismissal from the University.
- l. Students must act with integrity in relation to their studies, research, and towards staff and each other
- m. Students must treat all students, staff (academic and professional) and members of the community) with courtesy and respect
- n. Students have a responsibility to themselves, to other students, the University and to the wider community, to ensure that the University's behavioral standards are met, in all interactions (face-to-face and online environments). As such, students must refrain from insulting, harassing, victimizing



and discriminating against others on the basis of gender, race, ethnicity, religion, age, or any other protected class as described by law.

- o. Students should provide constructive feedback on University teaching and learning activities and other facilities thorough the University's evaluation processes.
- p. Students must respect University property, facilities and support services as shared resources, and make use of such provisions in a way that is consistent with the University rules and policies

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
V 2.0	05/04/2021	Updated the student's rights and responsibilities	Deanship of Student Services and Office of Vice-Chancellor for Academic Affairs
V 2.1	03/03/2023	The term "Code of Conduct" has been updated to "Code of Public Conduct". This is to reflect the accurate term used and defined in the Student Disciplinary and Academic Integrity Policy.	Vice-Chancellor for Academic Affairs

Counseling Policy

Policy Owner	Office of Vice-Chancellor for Academic Affairs	Responsible Office	Counseling Unit
Approved By	Chancellor	Effective Date	Oct. 2021
		Next Review Date	Oct. 2024

Purpose

The University recognizes the importance of counseling service, and the need for healthy and safe study environment that will contribute to the well-being and productivity of faculty, staff and students. The main purpose of this policy is to:

- Outline the University's commitment to provide counseling to the Ajman University Community.
- Ensure compliance with all applicable regulations.
- Manage mental and social health of the faculty/staff members and students.

Definitions

Anxiety: Anxiety is a normal reaction to stress. It is a feeling of worry, nervousness, or unease about something with an uncertain outcome.

Depression: It is a mood disorder that results in impairments to functioning. It may appear as a single, long-lasting negative mood or as episodic symptoms that interfere with the ability to work.

Attention Deficit Disorder (ADD): ADD is poor sustained attention to tasks, poor organizational skills and impaired impulse control and delay of gratification.

University: Ajman University.

Scope

This policy applies to AU faculty, staff and students.

Policy

1. All faculty/staff members and students at AU have access to the social and psychological benefits associated with mental health issues provided by the Counseling Unit.
2. Counseling Unit (CU) works with faculty/staff members and students struggling with a variety of personal issues. Ensuing are some of the common concerns:
 - A. Student's Issues:
 - 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.
- B. Faculty/Staff Members' Issues:
- Anxiety
 - Depression
 - Attention Deficit Disorder (ADD)
- C. Any effective system for administering counseling mental health benefits must accommodate a wide variety of individual circumstances. More frequently than not, these accommodations conflict with each other, so a single procedure to be followed by each individual is not likely to satisfy all others. 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 Counseling Unit professional staff.
 - v. Written permission is required for Counseling Services to release information to others outside the Counseling Services.
 - vi. For some serious cases, the information should be shared with office of medical services for a clinical medical care, referral and follow up to assure the safety of the patient and the community.
 - vii. All diagnosed cases should be documented at the OMS with a full confidentiality.

Individuals who fail to attend counseling service sessions

- Counselor will attempt to contact subject person through secure messaging to schedule another appointment suitable for both counselor and the concerned person:
- a. Contact will include a reminder of the failure to attend session.
 - b. If the counselor does not hear from the subject person within two weeks of the initial no-show, the counselor will render the counseling file inactive.
 - c. If the subject person does not schedule within 30 days, the his/her file will remain inactivated and he/she may have to complete the initial intake process if the service is requested at a later date.
 - d. Additionally, if a subject person is chronically late in canceling his/her appointments, the person may become ineligible for services. If a person does not notify the Counseling Office with at least 24 hours' notice on two consecutive occasions, the person's next appointment will be at least 30 days from the last cancellation.

Guidelines for Housing/Counseling Considerations (Students)

- These guidelines will be used when reviewing the Student 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. The undertaking can be part of the mandatory medical checkup already performed by all students when joining AU.
 - d. 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 stationery 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 Unit, the student's issue must be clinically significant and be directly related to the Student 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 Student Housing.
 - e. All mental/ psychological cases should be reported to OMS to be documented with the student/ staff medical file with full confidentiality.

Release of Information Policy

- All communication between a faculty/staff member or 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 and the OMS unless written authorization to release information is given.
- Sharing information with OMS will help the medical services team in dealing with each case based on the clinical and psychological findings.

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 or employees' work with the Counseling Services. It contains information a student or employee has provided to the Counseling Services in writing as well as counseling notes

from the regular sessions. The record remains in the Counseling Services for a period of three years following the subject person 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/employee or other(s), the Counseling Unit 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 faculty/staff member or a student may review his/her counseling record in the confines of the Counseling Services office with a counselor and only by appointment.
2. A faculty/staff member or 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
V 1.3	18/03/2021	Reviewed and no changes required	Manager of Counseling Unit
V 1.4	13/10/2021	-The policy is formerly titled Student Counseling Policy. -The policy has been revised to accommodate faculty and staff in the counseling services at AU. -Collaboration between the CU and OMS in providing counseling services has been added.	Manager of Counseling Unit Manager of Medical Services

Student Complaints Policy

Policy Owner	Dean of Student Services	Responsible Office	Deanship of Student Services
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

This policy provides guidance 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.

Definition

Kayako is a customer service software with a ticketing system that is used by Ajman University in managing requests, complaints and suggestions from students.

Service Level Agreements (SLAs) is a tool for achieving good customer service. In Kayako, SLAs can be built to set time limits for either ticket replies or ticket resolution. This allows an easy way to track which tickets need the most immediate attention, and which ticket requires escalation.

Complaint: 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.

Scope

This policy applies only to the complaints received through the "inquiry@ajman.ac.ae".

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.

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 Public Conduct



Policy and 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 faculty and staff are respected and preserved.
2. All complaints sent to inquiry@ajman.ac.ae will be received on Kayako (ticketing system) as a ticket assigned to the inquiry team.
3. The student will receive acknowledgement email of their complaint - indicating that they will receive a reply shortly.
4. The inquiry team will check the complaint and assign it to the concerned office/college.
5. Once the ticket is assigned to the concerned office/ college, a notification mail will be sent to the representative of concerned office/ college with the ticket number and link.
6. The SLA of sending any resolution from the concerned team is within 2 working days and then the concerned office/college should update the ticket as completed if no other action is required from their side.
7. Once the ticket is completed, a survey will be sent to the student via email to check their satisfaction.
8. If the student is not satisfied with the final resolution or reply, he/she can send back the complaint within 5 days, and accordingly, the ticket will be reopened. A notification mail will be sent to the concerned office/college that the ticket has been reopened. However, if the student sends after 5 days from the final resolution or reply, a new ticket will be created.
9. If the concerned team still needs more time to work on the complaint, they will send an email to the student through Kayako to inform them that they are still working on the resolution of the complaint and they will receive the reply shortly.
10. If the student didn't receive a reply within 2 working days, the ticket will be escalated to the office manager through a notification email.
11. If the student still didn't receive a reply from the concerned office/college, the escalation will continue till it reaches the Chancellor's office.
12. A report can be generated from Kayako that shows how many complaints were received and the percentage of the complaint tickets which were resolved within SLA. In addition, the report will show the satisfaction rate.
13. The reports are stored on cloud server, and they can be generated at any time after determining the complaint period. The reports are generated as excel sheet, and the reports shared are presented in a form of data in charts.
14. Only the concerned office/college can access their related complaint tickets. Records of student complaints are maintained for a period of six years.

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
V 3.0	13/09/2021	The policy has been updated to incorporate the Kayako system used in student complaints management.	Office of Marketing and Communication

Student Wellbeing and Safety Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Deanship of Student Services
Approved By	Chancellor	Effective Date	Jul. 2021
		Next Review Date	Jul. 2024

The policy reflects Ajman University's commitment to a safe and supportive campus. It includes policies for bullying, cyber bullying, online grooming, criminal and sexual exploitation, domestic abuse, substance misuse and gang activity.

This policy applies to all AU Students.

University: Ajman University

DSS: Deanship of Student Services

Chancellor: University Chancellor

Student: All students enrolled at the University irrespective of their level of study, including the College of Dentistry internship students.

This policy aims to ensure that no AU student is subject to bullying of any nature so that they are treated with dignity and respect in a safe and civil environment.

Bullying: Is the use of force, coercion, hurtful teasing or threat, to abuse, aggressively dominate or intimidate which undermines, humiliates or injures the person on the receiving end.

It is prohibited to encourage or to be involved in any act individually or in conjunction with a group to undermine, humiliate or injure a student or other members of AU community.

- Students have a right to complain if they are treated in a manner that they believe constitutes bullying.
- Complaints must be reported to the Dean of Student Services.
- Dean of Student Services examines the complaints then reports them to the Legal Advisor with sufficient details.
- The Legal Advisor reports the complaints to the Chancellor or the concerned authority, if deemed necessary.
- The Chancellor will advise the Student Disciplinary Committee to investigate the matter.

This policy aims to ensure that no AU student is subject to cyber bullying of any nature so that they are treated with dignity and respect in a safe and civil environment.

Cyberbullying: Is a form of bullying or harassment using electronic means.

AU will not tolerate lewd, stalking, harassing, bullying or otherwise intimidating others using any information technology device, computers, social media or social networking websites.

- Students have a right to complain if they are treated in a manner that they believe constitutes cyberbullying.
- Complaints must be reported to the Dean of Student Services.
- Dean of Student Services examines the complaints then reports them to the Legal Advisor with sufficient details.

- The Legal Advisor reports the complaints to the Chancellor or the concerned authority, if deemed necessary.
- The Chancellor will advise the Student Disciplinary Committee to investigate the matter.

This policy aims to outline all the prohibited actions, behaviors, and attitudes whether verbal, virtual, or physical that constitute sexual harassment and exploitation, and to ensure the safety and welfare of students who to disclose or make a complaint about sexual harassment or exploitation.

Sexual exploitation: forcing (coercing) a student or taking advantage of a student's circumstances or needs to gain sexual favors as payback.

Sexual harassment: unwelcome or offensive sexual behavior that is repeated or is significant enough to have a harmful effect on an individual's wellbeing.

Ajman University prohibits any behaviors that constitute sexual exploitation or harassment that might include (but are not limited to) any of the following actions:

- a. Repeated unwelcome questioning about personal matters.
- b. Any physical acts of a sexual nature.
- c. Unacceptable comments or remarks of a sexual nature.
- d. Comments about an individual's gender or sexual orientation.
- e. Texting or emailing content or images of sexual nature
 - Students have a right to complain if they are treated in a manner that they believe constitutes sexual exploitation or harassment.
 - Complaints must be reported to the Dean of Student Services.
 - Dean of Student Services examines the complaints then reports them to the Legal Advisor with sufficient details.
 - The Legal Advisor reports the complaints to the Chancellor or the concerned authority, if deemed necessary.
 - The Chancellor will advise the Student Disciplinary Committee to investigate the matter.

This policy aims to outline all the prohibited actions, behaviors, and attitudes whether verbal, virtual, or physical that constitute or encourage criminal or gang activities.

Criminal activity: an act that has the potential of causing serious physical, mental, or psychological harm or injury and that is committed in violation of a law.

Ajman University prohibits any behaviors that constitute or encourage criminal or gang activities that might include (but are not limited to) any of the following actions:

- a. Acting in a way that can inflict physical, mental, or psychological harm upon any other person.
- b. Making acts of extortion or threat of criminal nature.
- c. Wearing or displaying clothing or jewelry that are associated with membership or affiliation with gangs or such organizations.
- d. Using any speech or act in support of gang or criminal activity.
- e. Committing any other illegal act or other violation of Ajman University's policies.
 - Any University of Ajman's student can report any criminal, gang activity or behavior witnessed inside the University's campus.
 - Behaviors and signs that suggest membership of a gang or advocating gang membership or behaviors must be reported to the Dean of Student Services.
 - The Dean of Student Services examines the complaints then reports them to the Legal Advisor with sufficient details.

- The Legal Advisor reports the complaints to the Chancellor or the concerned authority, if deemed necessary.
- The Chancellor will advise the Student Disciplinary Committee to investigate the matter.
- Observation or complaints related to more serious gang or criminal activities must be reported to AU Security.

The University condemns domestic abuse in all forms. The University believes that every member of the University who is experiencing, or has experienced, domestic abuse should be enabled to disclose. The University is committed to dealing with any such disclosure in a supportive and confidential manner.

This Policy applies to all students at the University. The Policy applies to both victims and perpetrators of domestic abuse. It also applies equally to ongoing (current) domestic abuse, or that which has taken place in the past that affects an individual's ability to study.

Any incident or pattern of incidents of controlling, coercive, threatening behavior, violence or abuse between those who are or have been, intimate partners or family members. The abuse can encompass, but is not limited to:

- psychological
- physical
- sexual
- financial
- emotional

In association, the definition states that controlling behaviour is:

'A range of acts designed to make a person subordinate and/or dependent by isolating them from sources of support, exploiting their resources and capacities for personal gain, depriving them of the means needed for independence, resistance and escape and regulating their everyday behaviour'

And that coercive behaviour is:

'An act or a pattern of acts of assault, threats, humiliation and intimidation or other abuse that is used to harm, punish, or frighten their victim'.

Students who are experiencing domestic abuse will be supported by the University to maintain study while dealing with their circumstances.

The University seeks to create a supportive work and study environment in which students feel comfortable requesting assistance for domestic abuse related concerns.

To meet these commitments, the University will take the following steps:

- University students who decide to disclose experiences of domestic abuse are advised to contact First Point, a trained member from counselling who will signpost or refer on to internal or external support services.
- The University assures everyone who discloses experiences of domestic abuse that any information provided will usually be kept confidential and will not be shared without their permission.
- Students should be aware that in certain circumstances the University is obliged, legally, to share information both internally and with certain outside agencies without consent. Typically such circumstances include those where there are concerns about the safety of children or vulnerable adults or where the University may need to act immediately to protect the safety of its employees or students.

- The University will not discriminate or act prejudicially towards any student who discloses experience of domestic abuse in terms of study, or future opportunities for development or qualification that may arise.
- The counselling support shall provide appropriate training on managing domestic violence issues.

Students who commit acts of violence, including threats or harassment, on campus or when involved in University related activities, or who use University resources to engage in such acts, will be subject to the University disciplinary procedures for such behaviours.

Requests for support to address needs arising from domestic violence should be made as follows:

- A. by students to a staff member of the Deanship of Student Services;
- B. by students directly to the Police and University Security if the threat is considered real and imminent.

Ajman University wishes to maintain and support a healthy, safe and efficient working environment. The University believes that the development and implementation of a balanced and structured policy will minimise risks to staff health and well-being while providing a supportive and rehabilitative approach towards alcohol, drugs and substance misuse. In this context, all students have a personal responsibility to be fit for studying. In addition, all staff must ensure that the University's reputation is not brought into disrepute.

This policy outlines the University's position on the misuse of alcohol, drugs and substances within the university and the approach it will take when misuse affects students' capability, conduct or safety on campus.

This policy is concerned with the effects of alcohol, drugs and substance misuse and applies to all students enrolled to study at Ajman University, including undergraduate, postgraduate, Ph.D., both taught and research and those on short courses.

'The intermittent or continual use of alcohol or substances which causes detriment to an individual's health, social functioning or study performance, and which affects efficiency, productivity, safety, attendance, timekeeping or conduct in the University'

The University will take appropriate investigatory action in the case of the use, possession or supply of illegal drugs and also in the case of unacceptable behavior arising from excessive consumption of alcohol and/or drugs. As a consequence, this may lead to disciplinary action or the fitness to study procedures being invoked. This investigatory process may lead to a number of actions ranging from a verbal reprimand to a formal written warning, and ultimately to expulsion from the University.

Outcomes of both informal and formal stages of discipline will include positive support for the students wherever possible.

It is anticipated that an informal approach will resolve many disciplinary issues resulting from a student's substance misuse, and this will ordinarily be attempted first. When this is possible and the issue is resolved, no record will be kept in a student's file.

Ajman University aims to create a healthy and sustainable working, learning and living environments for students, staff and the wider community. It is committed to enhancing the health, safety and wellbeing of its students and staff and recognises the risks that may be caused by alcohol and drugs.

The following steps are to be taken:

- If a student is experiencing difficulties with their studies as a result of alcohol and drug misuse, they are encouraged to contact their Academic Tutor or alternatively seek support from Deanship of Student Services.
- Ajman University has a range of services available to students with drug and alcohol concerns, which are freely available to all students who wish to access help and support.

- The Office of Medical Services and the Counselling Unit offer a comprehensive array of support services to help with mental, physical health and personal development needs and therefore will offer an initial assessment to any student presenting with drug and/or alcohol related issues. During the assessment, they will explore how the student's substance misuse impacts their daily functioning, including academic studies and consider mental or physical health issues, levels of social support required and coping strategies. A risk assessment will also be carried out and if necessary, the Student medical Service and counselling unit may also suggest or refer the student to relevant external agencies that can specifically address drug and alcohol issues.
- Students may be immediately suspended or excluded from any of the University's facilities by the Chancellor in many cases, including but not limited to:
 - (a) where their continued presence constitutes a threat to themselves or others;
 - (b) where their behaviour seriously breaches the Code of Public Conduct or the Student Disciplinary and Academic Integrity Policy;
 - (c) where their behaviour compromises the reputation of the University;
 - (d) where students are found dealing drugs.
- Student Disciplinary Policy may apply.

This policy has been developed to safeguard students of our community, especially impressionable students.

The aims of this policy are to:

- demonstrate a commitment to safeguarding members of our larger community
- raise awareness about sexual exploitation and grooming
- help staff to deal with incidents of grooming.

Grooming: is the process of 'preparing' a student for a sexual or other exploitative purpose. Grooming is often slow and subtle, continuing for several weeks or months and lulling the person into a false sense of security. It always involves manipulation and deceit.

Ajman University is committed to the safety and well-being of all members of our community, especially the most vulnerable. It is also our duty as an educational institution to ensure our community is well informed, aware and able to deal with challenges.

Two types of grooming are recognized: street grooming which occurs in the community, and online grooming using technology including the internet and mobile phones

This policy is designed to bring awareness to the issue of grooming, and to serve as a procedure to address any incidents.

Grooming is strictly prohibited. UAE laws will be followed to address any grooming offences.

- Students have a right to complain if they are treated in a manner that they believe constitutes grooming.
- Complaints must be reported to the Dean of Student Services and the student must be sure that any information provided will usually be kept confidential and will not be shared without their permission.
- Dean of Student Services examines the complaints then reports them to the Legal Advisor with sufficient details.
- The Legal Advisor reports the complaints to the Chancellor or the concerned authority, if deemed necessary.
- The Chancellor will advise the Student Disciplinary Committee to investigate the matter.
- The policy mentioned above supersede any other old related policies, procedures, minutes of the meeting, manuals, handbooks, and bylaws. The Dean of Student Services is responsible for handling



any issues that might arise and are not covered in these policies, and raise recommendations to the Chancellor – through the VCAA- for his final discretion.

- In case of conflict between the Arabic and English versions of these Policies, the English ones prevail.
- Ajman University reserves the right to make changes to its Policies at any time and for any reason. The updated Policies will be deemed to have been delivered, received, and known by all employees and students one day after posting the updated Policies on the website, or sending the updated version by email. The employees and the students shall comply with the updated Policies since its effective date.

These policies shall be in effect as of July 1st, 2021.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	21/06/2021	New Policy	Deanship of Student Services

Policy on Raising Concerns of Safety

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Deanship of Student Services
Approved By	Chancellor	Effective Date	Jul. 2021
		Next Review Date	Jul. 2024

The purpose of the policy on raising concerns of safety is to reaffirm the commitment of Ajman University to provide a safe environment to all its students and to enable them to raise their concerns if they do not feel safe.

This policy applies to all AU students, and faculty and staff involved in reporting and managing safety issues.

University: Ajman University

Safe: free or secure from harm or danger.

Incident: an event or occurrence including accidents, injuries, occupational illness and hazardous material spill or release.

Ajman University, in accordance with the CAA Standards 2019 complies with the health, safety and environmental requirements, and the regulations of relevant regulatory agencies to ensure safety of its campus. All faculty, staff and students play a role in ensuring people under their direction have the necessary provision to work and study safely. By using good judgement and adhering to environmental health and safety precautions, and looking out for each other to avoid injuries, illnesses and environmental harms.

Faculty, staff and students are responsible for:

- adhering to all University and departmental or office safety policies and procedures and comply with safety directives issued by their individual supervisors.
- complying with the applicable provisions of health and safety standards and regulations promulgated by regulatory agencies.
- attending required training.
- raising safety concerns.

Students have a right to raise their concerns if they do not feel safe on campus. Students with specific safety questions or concerns are encouraged to raise them. Raising safety concerns must be done as follows:

- Laboratory incidents or safety concerns must be reported to the laboratory supervisor for further action in coordination with the Office of Environmental Health and Safety.
- Fire emergencies must be reported to the AU Security or to the Office of University Facilities.
- Physical security threats (e.g. theft and burglary, vandalism, terrorism, natural disasters and assault) must be reported to the AU Security.
- Any other safety concerns such as bullying, cyber bullying, online grooming, criminal and sexual exploitation, domestic abuse, substance misuse and gang activity must be reported to the Office of the Dean of Student Services. The Dean of Student Services examines the concerns, then reports them to the Legal Advisor and/or the Manager of Counseling Unit (if the concern is psychological) with sufficient details. The Legal Advisor reports the concerns to the Chancellor or the concerned authority, if deemed necessary.
- This policy supersedes any other old related policies, procedures, minutes of the meeting, manuals, handbooks, and bylaws. The Dean of Student Services is responsible for handling any issues that might arise and are not covered in this policy, and raise recommendations to the Chancellor – through the VCAA- for his final discretion.
- In case of conflict between the Arabic and English versions of the Policy, the English one prevails.
- Ajman University reserves the right to make changes to its Policies at any time and for any reason. The updated Policy will be deemed to have been delivered, received, and known by all employees



and students one day after posting the updated Policy on the website, or sending the updated version by email. The employees and the students shall comply with the updated Policy since its effective date.

This policy shall be in effect as of July 1st, 2021.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	23/06/2021	New Policy	Deanship of Student Services

Student Safeguarding Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Deanship of Student Services Student Disciplinary Committee
Approved By	Chancellor	Effective Date	Jul. 2021
		Next Review Date	Jul. 2024

Ajman University is committed to safeguarding the wellbeing of its student population and provide a secure environment for all university members who uses its premises and services. This policy describes how the University will deal with:

- Concerns indicating that a vulnerable student may be at risk of abuse, and the action that the University may take to manage such concerns and provide support.
- Concerns raised that a student's welfare and safety are at risk and the action the University may take to manage such concerns and provide support.
- Concerns that a student is at risk of being drawn into radicalization, terrorism, or extremism and the type of action Ajman University may take to manage such matters and provide support.

All staff, faculty members and students whose roles and responsibilities include regular contact with students who are potentially vulnerable to any of the above concerns must be made aware of this Policy, Procedure and related guidance. The University Security Officers will receive appropriate training.

- Abuse includes all forms of physical or emotional ill-treatment, negligent treatment, or bullying, including cyberbullying.
- The University is committed to protecting vulnerable students from abuse and neglect and ensuring that all staff and faculty members are aware of their responsibilities concerning safeguarding, alert to safeguarding concerns and know how to respond to these concerns.
- The University will follow best practices by putting all reasonable structures in place to support safeguarding. It will take all concerns seriously, respond to concerns promptly and refers to the relevant external bodies as appropriate.
- Staff and faculty who have contact with vulnerable students directly should be alert to the possibility that a particular student may be at risk of or has experienced abuse or neglect. However, it is not the responsibility of staff or faculty members to investigate or establish that abuse or neglect has taken place.
- Anyone who may witness or become aware of information suggesting that abuse and neglect is or is at risk of occurring should inform the University Security Officer.
- Where safeguarding concerns arise within any external partner setting, e.g., practice placement/internship employer, it expected that the third-party organization should deal with the safeguarding matter within its policy and procedures, involving external bodies as appropriate. When a concern that a University staff, faculty member, or a student poses a safeguarding risk, following the third party's investigation where the concern is substantiated, it should provide information to the University under this policy to enable appropriate disciplinary action to be taken.
- All University members whose roles and responsibilities include regular contact with potentially vulnerable students will receive training and guidance appropriate to their role. In addition, all staff will be made aware of this policy and procedures.



- In general, information is shared with the permission of the student; however, in cases where this may prejudice any subsequent investigation, information may need to be shared without permission. In all cases, information shared will be relevant, necessary and proportionate to the circumstances, and limited to those who need to know.
- The University will comply with any governmental requirements issued concerning safeguarding students from all forms of abuse.
- The University is committed to complying with any data protection legislation and regulations requirements.
- The University will refer any affected student, when necessary, to statutory services, preferably with the consent of involved persons. Such referrals will be proportionate and made based on identified and considered risks, including assessment of the impact of the referral on those involved.
- Staff dealing with safeguarding concerns should never promise confidentiality as information may need to be shared.
- The University reserves the right to take action under its disciplinary policies and procedures should it receives information that suggests a University staff, faculty member, or student conduct presents safeguarding concerns. In addition, following due process, the University may report the person involved who is deemed to pose a safeguarding risk to external bodies.
- The welfare of the students is a high priority for the University, and it remains aware of its duty to take reasonable steps to prevent harm, where that harm is within its reasonable control and other legal obligations.
- The University recognizes that there may be students who become vulnerable within its diverse student population at any given time. Therefore, the University and its members have a collective and individual responsibility to protect the wellbeing of these students.
- The University's response to concerns will be supportive, and those affected by welfare concerns will be offered support from within the University or externally.
- All staff and faculty members will be made aware of this policy and procedure. Support will be available for any enduring impact of the exposure to the concern.
- When concerns are severe to the extent that the situation is critical or an emergency, the University may decide to share information with the student's emergency contact.
- There may be circumstances the University will need to disclose certain information to third parties on a need-to-know basis in order to protect a student's welfare such as the health services and the Police. Where possible, information will be shared with the student's consent, but the University reserves the right to refer without consent.
- Confidential information will only be shared with the agreement of an appropriate senior manager. However, staff dealing with welfare concerns should never promise confidentiality as information may need to be shared. Referrals to third parties will be proportionate and made based on identified and considered risks, including assessing the impact of the referral on those involved.
- Effective safeguarding depends on effective partnership and information sharing. It isn't everyone's responsibility to investigate concerns, but it is everyone's responsibility to share concerns appropriately. Immediate sharing of information is key to providing an effective response to these concerns.
- Although the privacy of reporters and other involved parties will be protected as much as possible, confidentiality cannot be guaranteed. There may be circumstances where as part of a due process, a

reporter's identity, where known by the University, may need to be shared with the student and other relevant parties.

- Welfare concerns should be reported to security personnel on campus, who would report to their Supervisor.
- The Supervisor will be able to receive confidential information but will not share any information already held.
- The Supervisor may provide an immediate on-campus response and assist in contacting the emergency services where necessary.
- There may be circumstances where a student's physical or mental health may indicate that they pose a risk to themselves, to other students or to the activities of the University. Those cases may be managed through the Student Counseling Office to help provide support and assess the student's fitness to continue his studies.
- The University is committed to protecting students from being drawn into terrorism and to ensuring that all staff, faculty members, and students are aware of their responsibilities in relation to the prevention of radicalization and know how to respond to related concerns.
- The University has an obligation to protect its students against extremism and in particular those who may be susceptible of being drawn into violent extremism or crime. Concerns raised may include student vulnerability to extremist activity on-campus or in local areas, such as propaganda materials, flyers, and stickers.
- This policy is not directed against any specific ideology, religion, or any other set of beliefs. This policy does not allow for any individual or group of individuals to be marginalized, stigmatized or excluded from the learning and research community.
- Radicalization is a process by which individuals become supportive of terrorism or extremist ideologies. If a staff, faculty member, or student has any significant concern about a student beginning to support or express terrorist or violent extremist views, they should raise them with the University Security Officer, who can work together with the relevant internal and external bodies to address these concerns.
- There is no fixed set of characteristics of a person that indicate that he/she is likely to be involved in extremism, or for a person who adopts violence in support of their particular ideology. However, a number of possible behavioral indicators are listed below that can help University members to raise terrorist or extremist concerns:
 - Use of extremist language
 - Possession of extremist material
 - The expression or support of extremist ideas
 - Promoting or supporting violent actions
 - Attempting to recruit others to adopt an extremist ideology
- Where such concerns are raised about a student that indicates a risk to the safety of the student, this should be reported to the University Security Officer.
- University members dealing with such concerns should never promise confidentiality as information may need to be shared with other relevant bodies.
- Restricting access to particular websites where guidance from external organizations indicate that they could pose a risk to students, increase the likelihood of cyber-bullying, or radicalization.
- In general, information will normally be shared with the consent of the student involved. However, where there are concerns that seeking consent from the student would increase the risk to the



student or others, or prejudice any subsequent investigation, information may need to be shared without consent. In all cases, information shared will be relevant, necessary and proportionate to the circumstances, and limited to those who need to know.

- The University will comply with any requirements stipulated by governmental authorities in dealing with radicalization, terrorism, and extremism.
 - Radicalization, terrorism or extremism concerns should be reported to security personnel on campus, who would report to their Supervisor.
 - The Supervisor will be able to receive confidential information but will not share any information already held.
 - The Supervisor may seek external advice without identifying the individual. If following assessment of the concerns raised, it is found that there is a risk with regard to radicalization, terrorism or extremism, the individual will be spoken to, and if the concerns are substantiated, the matter will be referred to external bodies. If no risk with regard to terrorism or extremism is found, the student, if appropriate, will be referred to an alternative University support services such as the Student Council or Counseling Office.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	04/07/2021	Initial Policy	Student Disciplinary Committee

Student Athlete Class Attendance Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Deanship of Student Services Director of Student Life
Approved By	Chancellor	Effective Date	Aug. 2021
		Next Review Date	Aug. 2024

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
V1.1	31/08/2021	The policy has been reviewed and no changes required	Director of Student Life

Student Finance Policy

Policy Owner	Chief Operating Officer	Responsible Office	Office of Finance
Approved By	Chancellor	Effective Date	Jun. 2021
		Next Review Date	Jun. 2024

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, 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 College of Medicine and all 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.
- Additional fee for courses having a tutorial session
- Additional 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 for undergraduate programs and the Professional Postgraduate Diploma in Teaching is not part of the tuition fees. It is non-refundable, except when the application is rejected. In this case, an amount of AED 1,000 will be refunded to the applicant.
- The application and registration fee for College of Medicine and all graduate programs is not part of the tuition fees. It is non-refundable, except when the application is rejected. In this case, an amount of AED 1,700 will be refunded to the applicant.

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 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 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.

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
V. 1.3	23/06/2021	Minor changes in registration fees, refund, and. Books section has been removed.	Director of Finance

Student Records Policy

Policy Owner	Registrar	Responsible Office	Office of Registration
Approved By	Chancellor	Effective Date	Dec. 2022
		Next Review Date	Dec. 2025

Purpose

This document sets out AU's policy on the collection, use and disclosure of personal information which are part of the official student records. It applies to the Office of 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.

Statements

Student Records

- Ajman University creates and maintains an electronic academic record for each student who is admitted to the University. This record shall be created at the time of admission, and shall be maintained throughout the student's enrollment as the official record of the student's academic activities, transactions, performance, and achievements.
- Academic transcript represents the transactional certification of the student's performance and academic status within the University, including degrees awarded.
- The Student Information System (SIS) - Banner is the University's official repository of student academic records.
- Only the Office of 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 Registration is the Custodian of student academic records and data, and the Custodian of SIS.

Maintenance and back-up of student records

- Hard copy of student records received before admission of 2019-20 is stored in a secure, fireproof cabinet on University premises for 5 years after student graduation or student last attendance date. Files of this category of students are also electronically archived.
- Beginning the academic year 2020-21, the Office of Registration accepts and maintains the digital copy of student records once the original copy is seen and corroborated by the OAR Staff. The original copy will then be returned to the student.
- AU has an off-site continuous electronic backup for all electronic student records.

Retention and disposal of records

- Hard copies of Enrolled students' files are kept by AU for all students admitted before 2020-21 for 5 years after student graduation or last date of attendance.
- The final examination papers/digital shall be kept by College Departments for two semesters.



- Only digital copies of the final course marks will be maintained after 2019-20.
- The hard copy of the final course marks submitted by colleges to the Office of Registration before 2019-20 will be kept by AU.
- Digital copies of critical enrolled student's records, such as transcripts and degree completion authentications will be kept by AU for all students admitted for not less than fifty (50) years after student graduation or last date of attendance.

Permanent Academic Record

A permanent electronic academic record reflecting the academic achievement of the student who registers at AU is maintained by the Office of Registration.

a. Student Records:

All documents submitted to the University in support of an applicant for admission become the property of AU and, as such, become under the control of the Office of Registration.

b. Digital student record file includes:

❖ Personal information

- Personal information, including information about high school certificate.
- High School certificate, grade certificate, and equivalency certificate (when applicable).
- Passport's copy, residency, **date of birth, country of birth, nationality**, National ID, Health certificate, Conduct certificate, and photos.
- Application form, any eventual undertaking.
- Address of the student, **and other contact details, including parents contact**.
- Changing Personal Data.

❖ Academic information

- 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), minor(s), and CGPA.
- Academic disciplinary information, if applicable.
- All academic transactions:
 - Registration courses, add and drop courses in each semester
 - Grade entry, grade modification
 - Change Major
 - Registration Suspension
 - Re-enrollment
 - Grade Appeal, incomplete request, re-sit-Exam
 - Course Equivalency
 - Clearance request
 - All students E- requests

Security and confidentiality

- a) AU safeguards 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 the result of the grade appeal, or change the spelling of the student's name. Furthermore, the Registrar has an information system that detects any eventual change of grades on the system. The history of all transactions can be traced.

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 permits disclosure without consent:

- Disclosure to university official with legitimate educational interests.
- The parents and sponsors have the right to know about the student's academic progress and financial status record unless the student requests otherwise and they will be informed accordingly.
- Student information may be disclosed to government agencies, verification agencies, other universities, our services providers, donors, and related entities if the student has given consent.

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 File Records Retention and Disposal

- Beginning of the second semester of 2018-19, graduate students or students applying to leave the university must re-receive their original certificates from the Office of Registration.
- Beginning of the first semester 2020-21, the Office of Registration stopped accepting hard copies and will not keep any original certificate. All original certificates will be returned to students after verification.
- For all received documents 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 the record reaches the end of the scheduled retention period, it should be disposed of. 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 (Table 1).

Table 4. Student File Records Disposal

Documents	Soft copy	Enrolled (5 years after graduation or the last date of attendance)	Not Enrolled (1 year after application semester)
Bachelor Certificates	YES	5 years / last date of attendance	1 year
AU Transcripts	YES	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	YES	5 years / last date of attendance	1 year
Passport	YES	5 years / last date of attendance	1 year
Residency	YES	5 years / last date of attendance	1 year
Emirates ID	YES	5 years / last date of attendance	1 year
Health Certificate	YES	5 years / last date of attendance	1 year
Recommendation letters	YES	5 years / last date of attendance	1 year
Personal Photos	YES	5 years / last date of attendance	1 year
Admission Letters	NO	5 years / last date of attendance	1 year
General Letters	NO	5 years / last date of attendance	1 year
Registration Suspension	YES	5 years / last date of attendance	1 year
Re-enrollment	YES	5 years / last date of attendance	1 year
Changing Major	YES	5 years / last date of attendance	1 year
Courses Equivalency	YES	5 years / last date of attendance	1 year

Course Description	YES	5 years / last date of attendance	1 year
Incomplete	YES	5 years / last date of attendance	1 year
Registration Exception	YES	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
Grade Appeal Requests	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	YES	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 Registration. The Office of 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 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 require 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 2.1	23/07/2017	Minor revision to disclosure of information/ and file record retention and disposal.	Registrar
V 2.3	15/03/2021	Minor updates – Retention and disposal of records	Office of Admissions and Registration
V 2.4	13/12/2022	Minor update-student file records disposal	Office of Registration

Student Information Release Policy

Policy Owner	Registrar	Responsible Office	Office of Registration
Approved By	Chancellor	Effective Date	Mar. 2023
		Next Review Date	Mar. 2026

Purpose

The purpose of this policy is to outline the University's commitment to protect the privacy of all students and to ensure compliance with all applicable regulations.

Statement

Ajman University (AU) ensures that the release of information to the public respects the rights of individual privacy, the confidentiality of records, and serves the best interests of students and the institution.

➤ **AU releases information in accordance with the following guidelines:**

We may share student information with other entities in our organization structure, but only if necessary in the course of conducting AU activities

- a. The departments and units include but are not limited to:
 - Administrative units of AU
 - Academic units of AU
 - Higher Administration
 - Career Development Center
 - Alumni Office
 - Law enforcement agencies.
 - Academic screening agencies (consent of the graduates).
 - Office of International Academic Affairs (Exchange students).The OAR will release student identification, contact, and other related information to the other Offices e.g. Deanship of Student Services so it can:
 1. Offer Society membership to new students.
 2. Invite new students to its Meetings and Seminars.
 3. Announce Deanship's sport and cultural activities.
- 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. Student information may be disclosed to government agencies, verification agencies, parents, other universities, our services providers, Donors, sponsors, and related entities, from time to time if the individual if the student has given consent.
- d. The college's departments have access to personal information (students' names, addresses, and other contacts) and student transcripts so they can monitor class pass ratios, or recognize educational achievement.
- e. The office does not release students' contact information to third parties for marketing purposes.
- f. The graduation certificates are the personal property of students. Upon program completion, the certificate is handed directly to the student unless the student authorizes its release in writing to another person or entity.
- g. The Registrar may issue a list of the students with academic probation for the concerned college.



- h. All requests for information from members of the media must be referred to the Office of Vice Chancellor for Communication and Community Affairs.
- i. All requests for information for the exchange students must be referred to the Office of International Academic Affairs.
- j. Following is information that may be released from the office of 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
 - The grade obtained (CGPA)
 - Employer address and telephone number
 - Email address
 - Miscellaneous comments, awards.
- k. It is the responsibility of the unit requesting information to maintain the absolute confidentiality of that information as specified in this policy statement.

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
V 1.4	06/03/2023	Minor change related to the amendments made on the academic probation policy	Office of Vice Chancellor for Academic Affairs

Degree Audit and Graduation Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Oct. 2021
		Next Review Date	Oct. 2024

Preamble

As a leading higher education institution, Ajman University (AU) seeks to assist students in academic planning and proper course scheduling to help them make steady progress towards their degrees. Therefore, AU has developed the Degree Audit and Graduation Policy that sets a clear framework for the degree audit and maps the graduation requirements.

Purpose

This policy aims to set clear regulations for the degree audit and the conferral of degrees.

Scope

This policy applies to all the programs at AU.

Definition

Degree evaluation: a system process that matches the students' completed courses with their respective study plans to determine the completion of their degree requirements, and hence their eligibility for graduation.

Policy and Procedures

1. After the add-and-drop period, the Office of Registration (OR) shall run a degree evaluation process, put together an audit report for students who are expected to graduate by the end of that semester, and submit it to the respective Deans.
2. The College shall review the audit report and indicate any outstanding problem/ feedback on the report's final version submitted back to the Office of Registration.
3. All changes and amendments to the degree audit report shall be shared with the Office of Registration no later than the eighth week (8) after the add-and-drop period.
4. The Colleges shall submit a clearance audit sheet signed by the Deans or the designees to the Office of Registration by the tenth week of the semester. The sheet shall clearly state the student's fulfillment of all the graduation requirements and eligibility criteria.
5. At the end of each semester, the OAR shall run a final degree evaluation on the student information system to ensure all potential graduates have successfully completed their courses as per their study plans.
6. The OAR generates transcripts for all the students who have met all graduation requirements and submits them to the Dean of the Colleges for verification and confirmation.
7. Once the College Dean confirms, OAR will proceed with graduation completion processes and



- awarding approved students in the system.
8. All graduating students must submit a clearance request and a copy of their valid Emirates ID and passport to receive the graduation certificate.
 9. Eligible students shall be awarded their degrees without any deferrals. Only students who graduate in the Summer semester shall receive their degrees in the following Fall semester.
 10. The OAR shall provide cleared students with all the information and directives relating to their Commencement. Students who have not been cleared shall not participate in the graduation ceremony.
 11. OAR shall submit a list of students eligible for graduation to the VCAA, who shall certify it and send it to the Chancellor's office. Final Approval for the list of graduates must be obtained from the Board of Trustees (BOT).
 12. The Office of Registration shall post the degree on the student's academic record upon the request of the Chancellor.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	20/10/2021	New Policy	Office of VCAA

Career and Placement Services Policy

Policy Owner	Office of Development and Alumni Affairs	Responsible Office	Office of Career Services
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 2024

Purpose

The main purpose of this policy is to train senior students and alumni to explore and attain their career goals, connect them to the job market in the UAE and the region. Thereby, they can become more knowledgeable about jobs and occupations, they can be assisted to become active managers of their career path, and lifelong learning can be promoted.

Statement

The Office of Career Services at AU was established to cater for the career counseling needs of students and alumni alike. Organizationally, the office works under the auspices of the Office of Development and Alumni Affairs, 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 Office of Career Services 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 in order to support them in trying to get them internship and placement opportunities.

AU's Office of Career Services (OCS) 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 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 sign post students and graduates to resources available for job search.
- To assist students and graduates in acquiring skills necessary for effective job search.
- To post job ads electronically and on signboards campus-wide.
- To establish relations with employers on a win-win basis whereby the OCS will help in providing the necessary logistics for on-campus recruitment or for CV screening processes.
- To liaise with businesses, government and organizations for possible internship, voluntary or part-time opportunities for students and graduates.
- To mentor and coach students helping them to create future career plans.
- To conduct one to one CV review and Career Counseling sessions to students and alumni.
- To conduct training for soft skills required by the job market and provide professional development workshop.
- To get internship and placement opportunities from the best employers.
- To create career fairs and days to enable employers and students/alumni to interact with one another.
- To create Mock interviews activities to practice interviews and simulate the employment process.

Guidelines

- The OCS 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.
- From this perspective the CSO is planning to conduct career activities 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.
- The second main area of the CSO 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.
- 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 CSO 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 the career activities. The CSO aspires to cooperate with AU's Office of Institutional Planning and Effectiveness (OIPE) for more measurable benchmarks against which the CSO 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
V 1.3	27/05/2021	Minor change – updates on office name, objectives and guidelines.	Office of Career Services Manager

Student Success Center Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Student Success Center
Approved By	Chancellor	Effective Date	Mar. 2023
		Next Review Date	Mar. 2026

1. Purpose

This policy is established to provide guidance for the Student Success Centre's offering of a variety of student-centered services that ensure academic excellence.

2. Scope

This policy applies to all students, faculty, administrators, and staff that are involved in Student Success Center-related activities.

3. Vision of the SSC

The SSC will help students reach their full academic potential and thrive during their University years.

4. Mission of the SSC

The SSC will help students reach their full academic potential and thrive during their University years through early identification of students in need of academic support and through providing comprehensive support tailored to the needs of the student to help develop capable and well-rounded graduates who will enter the workforce and help foster a forward-thinking and progressive society.

5. Specific Objectives of the SSC

With close liaison with college Deans, faculty, managers and students at AU, the SSC will:

1. Provide curricular support activities and programs that lead to increased students' satisfaction and ultimately reflect on observable academic success
2. Organize initiatives and programs that aim at enhancing students' knowledge and application of behaviors and habits that lead to academic success
3. Organize initiatives that help to create a culture of Life-Long Learning within students

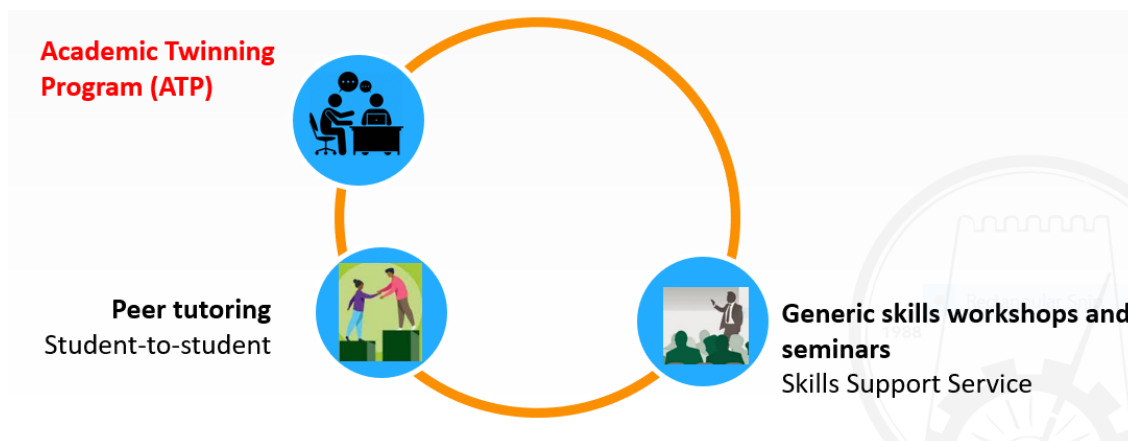
6. Policy Statements

1. The SSC endeavors to provide equitable education and support opportunities to all the students who need its support. All activities and sessions provided by the SSC will be student-centered and tailored to the need expressed by students through surveys, or observed by faculty members who will be invited to propose workshops, seminars and similar interventions. The activities will be delivered in a professional and flexible environment that utilizes the available facilities at AU.
2. The SSC works with all stakeholders in AU (faculty members, academic advisors, deans) to identify students in need of academic support, mentoring, or guidance. The students will also be given access to self-refer, using user-friendly applications to register in the SSC and reserve a one-to-one 'coaching' session with a trained student peer. The SSC stresses that early identification of students at risk of academic mishaps is key to successful support.

- The SSC invites select individuals representing academia, industry, government, and employers to act as an Advisory Committee to the Center. The Advisory Committee shall have a written Terms of Reference outlining its role, meeting frequencies, and other relevant aspects.

7. Support provided by the SSC

The SSC provides a range of personalized student-tailored services as shown in Figure 1.



Offices and Responsibilities

Peer Tutoring Program:

Office/Service	Key Functions
Liaison and Services Coordinator	Liaison with all offices/services under the SSC and providing counsel and guidance to help streamline the work - In coordination with each Officer in the SSC-PTP, you will prepare a list of objectives associated with the respective office - Prepare a checklist for each office and keep track of updates monthly. - Keep track of updates on the content and activities of the Knowledge Bank - Provide counseling and support to Peer Tutors and Officers when required - Provide support and follow-up in relation to major projects undertaken by the Digitalization and Projects Officer - Keep SSC manager and Faculty Liaison (FL) updated monthly.
Public Relations	- Increase awareness about PTP in all colleges in AU through working closely with Marketing and the colleges and departments in AU - Building PT community through coordinating activities with the Events and Ceremonies Office - Conducting outreaching activities to build alliances and partners

Office/Service	Key Functions
Training and Competency	1. Coordinates training schedules 2. Coordinates training certificates 3. Maintain training records 4. Assesses progress in achieving KPIs 5. Follows up performance of PTs 6. Designs upskilling activities
Digitalization and Projects	1. Overseeing 100% digitalization of process in SSC 2. Custodian of all data pertaining to special projects under the PTP (ATP data, summary reports)
Publicity and Social Media	1. Use social media platform to increase the visibility of the SSC beyond AU 2. Creating engaging programs using social media that involves AU students
Events and Ceremonies	1. Coordinates gathering and events that helps with the recognition of the SSC and PTP 2. In liaison with the Publicity Officer, coordinate and organize meetings, events, and ceremonies related to the SSC and the PTP
Planning and Innovations	1. Supports events, data gathering, and other activities within the SSC. 2. Supports the SSC and the Liaison and Services Coordinator in reaching out to engage Peer Tutors in different colleges, carry out motivational sessions to help achieve optimum results.

7. Procedure

7.1 The SSC will coordinate with all Colleges at AU to ensure that their Deans are all on board with the Center and its purpose.

7.2 Nominations of SSC Faculty Liaison (SSC-FL) will be made through direct contact and coordination with the Deans of the respective colleges.

7.3 The SSC-FL in each college will promote the SSC among the students of their respective colleges in addition to identifying students at academic risk, those who have received several academic warnings/or probations, and similar cases of students who were observed to need academic or skill training support. Students at risk could also be identified by coordinating with AU's Registrar's Office which keeps student records and current information about warnings/probations students receive.

7.4 The SSC-FL will advise these students to register their interest with the SSC, noting that the support provided by the SSC is voluntary, confidential, and with the full autonomy of the student concerned.

7.5 There will be THREE types of services provided by the SSC for students:

- a) **Peer Tutoring:** Peer Tutoring is a preemptive-preventative strategy aimed at supporting students who need to improve in their academic performance. Peer tutoring approaches have been shown



to have a positive impact on learning, with benefits for both tutors and tutees, where students who are low achieving receive additional benefits from peer tutoring. A number of students with outstanding academic records are identified by the colleges and (after having their consent) their names and other details are provided to the SSC. Successful peer tutor candidates will join a pool of peer tutors to provide 1 to 1 tutoring to students.

- b) **Academic Twinning Program:** This is a variant of the Peer Tutoring Program, however it is a remedial strategy where students observed to be **at high academic risk** receive guidance, follow-up, and support through (1) the respective faculty member of the courses they enrolled in; (2) a peer-tutor who will provide one-to-one sessions designed to help with the respective courses; or (in the absence of a Peer Tutor (3) a student peer nominated by the respective faculty member teaching the subject.
- c) **Skills workshops, seminars, and tutorials:** These sessions will be provided by the SSC based on needs assessments and they predominantly are designed for groups of students.

7.6 Students eligible to be recruited as Peer Tutors (PTs) will be nominated by the SSC-FL in each college at AU using an online Peer Tutor Nomination Form.

7.6.1 The following are some credentials for consideration of candidate PTs:

For a student candidate to be eligible to enroll as Peer Tutor, the following will be required:

- (a) The candidate PT must be nominated by the respective SSC-FL
- (b) The candidate PT must have an A grade in the course(s) that s/he will be tutoring **with the EXCEPTION** of:
 - (b-1): first year students during the Fall Semester (where no final grades are available and potential peer tutors can only be identified and nominated by faculty member who teaches a course), and
 - (b-2) final year student tutors can also be nominated by faculty member who teaches a course
- (c) Alumni who had excellent academic records may express interest to enroll as Peer Tutors or continue to be Peer Tutors, and if necessary will be trained through the established system and perform peer tutoring services directed to final year students as other regular PTs.
- (d) The candidate PT must have no history of academic warnings/probations
- (e) The candidate PT must have not committed any academic misconduct
- (f) The candidate PT *may be required* to pass a face-to-face interview conducted by the SSC
- (g) The candidate PT must enroll and receive on the assigned training on Peer Tutoring provided by the SSC.

The names and short biographies of all candidate PTs who have passed the requirements for becoming PTs will be displayed on a dedicated Peer Tutoring Program website under the Student Success Center.

7.6.2 Data required to be collected about each PT (the data will allow students needing tutors to select their preferred tutor):

- i. Name and ID
- ii. Gender
- iii. College/Program of the PT
- iv. Topic/courses which the PT has identified as areas of interest/expertise (1 to 5 courses)
- v. The Grade in the preferred topic(s) of the tutor
- vi. Times and dates available for tutoring (minimum of 1-hour slots)

7.6.3 *Data required about the student tutees needing support:*

- i. Name and ID
- ii. Gender
- iii. College/Program in which the student was registered
- iv. Tutor identified/selected
- v. Date and time for the tutorial
- vi. Open-ended comment box for any relevant or additional requirements by the student

7.6.4 *Rules and roles concerning the Peer Tutorials:*

- a. The PT will be required to work collaboratively with their respective FLs and will pass to them any issues they wish to bring up to the course instructors/professors of the subjects tutored by the PT.
- b. FLs and their PTs will coordinate any orientational activities aimed at publicizing the services of the SSC and the Peer Tutoring Program among the students in the college.
- c. All the tutorials must adhere AU's gender segregation policy (i.e. Male PTs will conduct tutorials with male tutees, and female PTs with female tutees)
- d. The PT-tutee relationship is a professional working relationship, and no comments apart from these filled in the Tutorial Goals and Outcomes form will be communicated or shared with outside parties.
- e. Both tutors and tutees are expected to be prompt, courteous and respectful towards one another.
- f. A friendly and comfortable rapport can make the learning experience more effective, but socializing should be kept to a minimum during tutoring sessions.
- g. Both PTs and tutees are expected to be engaged and working towards a common goal for each session.
- h. The PT and tutee should collaborate to establish this goal at the beginning of each session, and the session goals should be documented in the Peer Tutorial Goals and Outcome Form .
- i. All tutorials will be conducted in-person (preferably in AU premises) or online using one of the available platforms (Zoom, MS Team, etc.).
- j. All in-person tutorials will be conducted in the University premises (preferably, but not limited to, a pre-booked library room; online (virtual) tutorials can be conducted from anywhere.
- k. The tutor sessions will be held for 1 to 2 hours, and could be broken up into multiple sessions as required.
- l. If a tutorial session must be canceled, PTs and tutees should provide at least 24 hours' notice to each other.
- m. PTs are instructed to wait only 15 minutes when tutees fail to show up for a scheduled session; tutees should do the same.
- n. PTs are expected to help tutees understand subjects and assignments that tutees struggle with, but they should not work together on completing assignments that will be handed in (and they cannot edit assignments/papers for the students).
- o. Confirming the attendance of the session should be at the end of the session, where the PT should ask the student to confirm it on the system before ending the session.
- p. After each peer tutorial, the student(s) receiving the tutorial will be required to complete a short anonymous satisfaction survey to evaluate the tutorial session.

8. Students who Commit Academic Integrity Violations

- In line with its mission of "helping students reach their full academic potential", the Student Success Center (SSC) plays a pivotal role in preventing potential academic integrity violations (this includes cheating in examinations and committing plagiarism), and also preventing the re-occurrence or repetition of such incidents.
- The SSC will conduct at least one activity in each academic semester on professional and behavioral issues (professionalism, ethics, and/or academic misconduct).
- These activities will aim at equipping the students with the knowledge, attitude, and behaviors becoming of a University student.

9. Fees

The peer-to-peer service is provided free of charge to eligible students at AU.

10. Disclaimer

To the maximum extent permitted by its role to provide comprehensive learning support, the SSC does not warrant a positive outcome and disclaims all liability to students that have not improved their academic performance, even after receiving the tutorial(s).

For questions or concerns please send an email to:

Ms. Ayisha Saleem (Admin Coordinator): a.saleem@ajman.ac.ae

Policy Custodian:

Professor Nadir Kheir; Manager, Student Success Center

Email: n.kheir@ajman.ac.ae

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	17/07/2020	New Policy	Manager of Student Success Center
V 1.1	03/02/2023	This policy has been updated to reflect AU's Academic Twinning Program (ATP) and the responsibilities of the stakeholders.	Manager of Student Success Center
V 1.2	06/03/2023	Minor changes related to the amendments made on the academic probation policy	Office of Vice Chancellor for Academic Affairs

Student Operated Media Policy

Policy Owner	Office of Vice-Chancellor for Academic Affairs	Responsible Offices	Office of Student Life Counseling Unit
Approved By	Chancellor	Effective Date	Dec 2022
		Next Review Date	Dec 2025

Purpose

This policy is established to guide the AU community who are involved in student-operated media.

Scope

This policy only applies to student-operated media. All other media publications at AU are covered by different policies available in the Policies and Procedures Manual.

Policy

Ajman University (AU) has put in place student-operated media to allow students to share their experiences and success stories during their university life. Students from all disciplines can be part of AU student-run media, overseen by the Office of Student Life (OSL) and the Counseling Unit (CU), and supervised by qualified editors, appointed by these two offices. In addition, a qualified faculty, appointed by the VCAA, shall act as supervisor/mentor to ensure the quality of publications.

The OSL oversees the publications of the students in “Meem Times”, an e-magazine published in both Arabic and English, at the end of each semester. The CU oversees the publications of the students in another e-magazine called “Voices”. No other student-run media is currently permitted by the University. For initiating a new student-operated media, proposals shall be submitted to the VCAA for approval.

Procedures

The following procedures shall be followed regarding publications in the student-operated media:

1. The OSL and CU invite the students for article submissions.
2. Articles submitted by the students shall be reviewed by qualified editors, among the University faculty, as appointed by the Managers of the OSL and CU.
3. Only the edited articles approved by the appointed editors shall be published in the e-magazines.
4. The e-magazines shall be sent to all students via email and also published on the OSL and CU websites.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	07/12/2022	Initially policy	Office of VCAA

Student Teaching and Administrative Assistants Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	OVCAA & OCOO
Approved By	Chancellor	Effective Date	Jan. 2023
		Next Review Date	Jan. 2026

Purpose

To ensure that the process of recruiting Student Assistants for the administrative or teaching assistance is conducted in a manner that is consistent with the principles, standards and expectations of the University, appropriate to its educational mission and academic programs, and operates with necessary integrity, fairness, consistency, and effectiveness.

Overview

This policy document explains all applicable rules and procedures relating to recruiting Student Assistants (SA) under two types of roles:

- A. SA's who perform teaching related duties to assist instructors-of-record, referred to as Student Teaching Assistant (STA), and
- B. SA's who perform administrative related duties to assist colleges and offices when required, referred to as Student Administrative Assistant (SAA)

Scope

Applies to enrolled full-time students who have completed certain course(s) related to the teaching assistance duties with a minimum grade of B+ or have a certain required administrative skill and a minimum cumulative GPA of 3.5.

Statement

Student Teaching Assistant (STA):

1. STA policies and procedures are fully controlled and managed by the Office of Vice Chancellor for Academic Affairs;
2. Candidates must be students who are enrolled and have excelled in the classes they will be helping with (i.e. a minimum grade of B+). They will be recruited by the respective College/Program for employment as Student Teaching Assistants (STA), who will support instructors in their pedagogical responsibilities;
3. The Student Teaching Assistants (STA) duties include but not limited to:
 - Grade homework assignments and quizzes based on homework assignments under the supervision of the course instructor;
 - Reinforce lessons presented by instructors by reviewing materials with students one-on-one, in the laboratory, or in tutorial sessions;
 - Help instructors to prepare for lessons by getting materials ready or setting up equipment

relevant to the course;

- Help instructors with recordkeeping, such as tracking attendance;
 - Facilitate group discussions and team-based learning;
 - Perform other administrative tasks that may require the involvement of teaching assistants as prescribed by the course instructor, the head of the department, or the Dean;
 - Attend classes with instructors as required;
 - Help the instructor to organize student activities inside and outside the University;
 - Help instructors to prepare course files as needed;
 - Keep (electronic) records of student grades on assignments if instructed;
 - May be required to hold problem solving (tutorial) sessions and possibly attend certain lectures of the course.
4. In courses where Student Teaching Assistants (STA) are assigned, they **must** contact the faculty member (or designated Instructor) at the start of the course to receive the relevant guidelines and instructions.
 5. All STA tasks are expected to be carried out under the course faculty member's supervision. Responsibility for the satisfactory completion of all course-related tasks remains with the instructor of record.
 6. The Peer Tutors will adhere to the same policy and procedures for hiring and compensation as the Student Teaching Assistant (STA).
 7. Student Teaching Assistant (STA) **may not**:
 - Grade Test1, Test2, Midterm or Final Exams.
 - Assign final grades in a course.
 8. Be assigned more than 20 hours per week, including any other assignments in the University (student course load must be considered in the assignment of the number of hours)
 - Be asked to work after the last day of a semester as per the academic calendar.

Student Administrative Assistant (SAA):

1. SAA policies and procedures are fully controlled and managed by Office of Chief Operating Officer;
2. Candidates must be students who are enrolled and have demonstrated required administrative skills with a minimum cumulative GPA of 3.5. They will be recruited by the respective office for employment as Student Administrative Assistants (SAA), who will support staff in their administrative responsibilities;
3. The Student Administrative Assistants (SAA) duties include but not limited to:
 - Update databases and records, under the supervision of the staff in charge;
 - Produce presentations or reports;
 - Help staff with recordkeeping and archiving;



- Attend meetings, prepare meeting materials and record minutes, as required;
 - Help to organize student/staff activities inside and outside the University;
 - Any other administrative tasks required by the Office as needed.
4. SAA **must** contact the staff member (or designated supervisor) at the start of the assignment to receive the relevant guidelines and instructions.
 5. All SAA tasks are expected to be carried out under the staff supervision. Responsibility for the satisfactory completion of all related tasks remains with the staff of record.
 6. Student Administrative Assistant (SAA) **may not**:
 - Access confidential financial or personnel related information;
 - Participate in decision making activities;
 - Be assigned more than 20 hours per week, including any other assignments in the University (student load must be considered in the assignment of the number of hours)

Procedure

Student Assistant Recruitment Process

- At the beginning of each academic semester, Colleges and Offices will recruit eligible students as Student Assistants and assign the number of hours required for each one to complete his/her job
- Colleges shall have an available budget (as part of the adjunct faculty budget) to be utilized for STAs, which shall be confirmed by the Office of Budget and Planning.
- Offices shall have a vacant position to utilize the budget for SAAs, which shall be confirmed by the Office of Budget and Planning.
- Designated faculty member or an Instructor should:
 - Provide adequate supervision and mentoring to ensure accurate and fair grading.
 - Provide the STA with complete guidelines and instructions (rubrics) for grading, assigning partial credit, etc.
 - Provide answer keys/solutions for assignments or quizzes to be graded.
- Designated staff member or supervisor should:
 - Provide adequate supervision and mentoring to ensure required administrative tasks are carried out with high quality.
 - Provide continuous feedback on SAA performance and quality of work produced.

Distribution of workload

- In courses where more than one STA is assigned, it is the faculty member's responsibility to ensure appropriate distribution of work and consistent grading.
- SA assignments are subject to budget availability. SA allotments are not guaranteed.
- Faculty and Staff members should be aware that SA assignments are also subject to the availability of qualified students.

Compensation to SA's

- SA's (both STA's and SAA's) shall be compensated with an hourly rate of **AED 25 per hour for undergraduate students and AED 35 per hour for postgraduate students**, payable at

the end of the assignment period and based on the authorized timesheets by the faculty/staff member in charge.

This amount represents the total payment with all other benefits (housing, insurance, etc).

Notwithstanding any provision mentioned in Ajman University's policies, the SA is NOT entitled to:

- One-way ticket at the date of joining;
 - Furniture, education, annual air ticket allowance;
 - Leaves unless unpaid sick leaves;
 - Repatriation ticket since the SA was in the UAE at the date of contract conclusion; or
 - End of service gratuity.
- The College/Office will verify the total hours worked by each SA, get them approved by the respective Dean, Director or Manager of the College or Office and send a list with the number of hours and compensation of each SA to the Office of Human Resources to process the corresponding payments.
 - In case of the assignments that exceed a duration of one month, a partial monthly payment of compensation to the SA's can be done, subject to submitting the verified and approved timesheets to the Office of Human Resources no later than 25th of the month. Documents that are submitted beyond this date shall be processed by the end of the subsequent month.
 - The Office of Human Resources will examine the dues computation, but it is not their responsibility to confirm the actual number of hours worked.
 - The Office of Human Resources, upon completion, will forward the dues to the Office of Finance for payment processing.

Responsibility

- The respective colleges and offices are fully responsible to run a fair and transparent evaluation and selection of SA's.
- The respective colleges and offices are fully responsible to verify and accurately report the actual attendance of SA's based on which they will be compensated.
- Any recruitment or hiring of SA's that doesn't follow the above detailed cycle will be considered a violation, which will be reported by the Office of Human Resources to the respective Cabinet member for further investigation and action.

Miscellaneous

- This policy supersedes any other old related policies, procedures, minutes of meeting, manuals, handbooks, and bylaws.
- Responsible Offices are requested for handling any issues that might arise and are not covered in this policy.
- In case of conflict between the contract and the Policy, the contract prevails.
- Any exceptions to this policy must be well justified and raised to the Chancellor for a final decision.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	09/01/2023	New Policy	Vice-Chancellor for Academic Affairs Chief Operating Officer

7. Health, Safety and Environment



جامعة عجمان
AJMAN UNIVERSITY

Environmental Health and Safety Policy

Policy Owner	Environmental Health and Safety Officer	Responsible Office	Dean of Graduate Studies and Research
Approved By	Chancellor	Effective Date	Jun. 2022
		Next Review Date	Jun. 2025

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 staff members and faculty 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 staff and student 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
V 2.1	27/06/2022	The policy has been reviewed and there are no changes required.	Environmental Health and Safety Officer

Smoking Policy

Policy Owner	Environmental Health and Safety Officer	Responsible Office	Office of Environmental Health and Safety
Approved By	Chancellor	Effective Date	Mar 2022
		Next Review Date	Mar 2025

Purpose

The purpose of this policy is to reduce the number of smokers on campus and to support those who wish to stop smoking; discourage freshmen students from starting the habit as university students and to raise awareness on the dangers of smoking.

Scope

This policy will apply to all students, faculty and staff members, contractors, vendors and visitors.

Statement

Exposure to second-hand smoke and the use of tobacco products are significant health hazards. In order to maintain a healthy environment at AU and to promote the prevention of illness and encourage students, faculty and staff to lead a healthy lifestyle, a smoking policy has been put in place to reduce the use of tobacco products on campus.

"Smoking" refers to inhaling or exhaling, burning, carrying or processing any lighted tobacco products.

"Tobacco products" include but are not limited to any lighted cigarette, cigar, pipe, midwakh, dokha, bidi, electronic cigarette or any other smoking device that emits smoke/ vaping, along with any form of smokeless or spit tobacco such as dip, chew, or snuff.

Roles and Responsibilities

Every member of AU community is responsible for the enforcement, maintaining and communication of this policy. Responsibilities include:

- Complying with the policy and communicating it to others
- Cooperating to regulate smoking behavior on campus
- Protecting nonsmokers from being passive smokers
- Maintaining a healthy environment throughout the campus

Those responsible for the application of the policy are the EHS Committee, Unit of Community Services, security guards, Office of Student Services, and Office of Human Resources.

Procedure

1. While students, faculty and staff members, and visitors are encouraged to make healthier choices, AU has created clearly-marked designated smoking areas. Six open areas on campus have been designated for smokers, equipped with benches and ashtrays: (refer to attached map).

Building	Section	Block/ Entrance
Student Hub Building	Male	Main Entrance
J1 Building	Male	Block A
	Female	Block C
J2 Building	Male	Block A
	Female	Block B
Sheikh Zayed Center for Exhibition and Conferences	Male	VIP Entrance

2. Smoking and vaping is only permitted in designated smoking areas.
3. Smoking in corridors, stairways, bathrooms, and roof areas is completely prohibited.
4. Dispose of used cigarette butts properly at designated cigarette bins. Make sure that you completely extinguished the fire from your cigarette before throwing it away to prevent fire.
5. Refrain from throwing used cigarettes on the ground, grass area, walkways, parking, and other open areas on campus.
6. Do not peer pressure others into smoking.

Sanctions (Students)

There is a three-level warning system in place for AU students caught smoking outside these above-mentioned designated areas.

First time violation

The student will be given a verbal warning by the University Security and their ID will be confiscated. The student will need to meet with the EHS Committee to discuss the violation and collect the ID card within 48 hours. If the student refuses to hand in their ID, they shall be referred to the Student Disciplinary Committee.

Second time violation

Should the student be caught violating the policy a second time, he or she will be given a first official written warning, which will be placed in his/ her file and sent to his/ her student email.

Third time violation/ repeat violators

The student will be subject to disciplinary action as determined by the Student Disciplinary Committee. In addition, the student will also be required to complete 5 hours of community service.

Sanctions (Faculty and Staff)

First time violation

The employee will receive a verbal notification from the security guard on duty in the area of the violation.

Second time violation

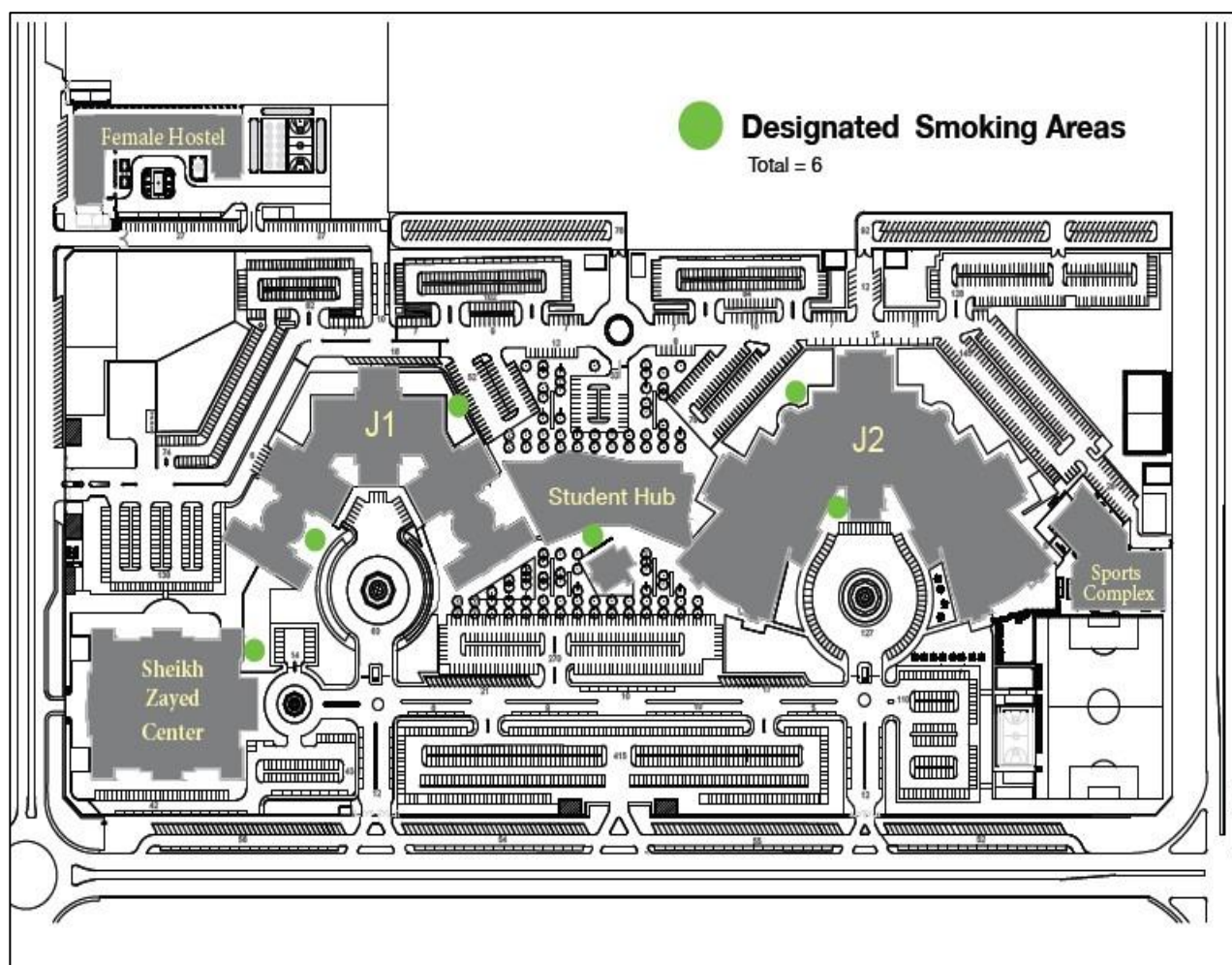
The employee will receive a written warning from the Office of Human Resources.

Third time violators

The employee will be subject to disciplinary action as determined by the Faculty Accountability Committee/ Staff Disciplinary Committee. A third violation will be factored into the employee's annual performance evaluation.



Designated Smoking Area Outdoor Locations



Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	09/03/2020	New Policy	EHS Committee/ Chief Operating Officer
V 1.1	30/05/2021	Minor updates	EHS Committee/ Chief Operating Officer
V 1.2	25/03/2022	Updates to Procedure and designated smoking areas	EHS Officer/ Chief Operating Officer

Hostel Policy

Policy Owner	Students Housing Manager	Responsible Office	Deanship of Student Services
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

This policy sets the required basic rules and disciplines to provide AU students, males and females, with reliable housing facilities which meet their needs and expectations away from home. This policy lays the foundation for the Student Hostel supervision and monitoring, defining rules and responsibilities of the administrative staff.

Scope

This policy is applicable to all AU residential students and staff.

Policy Outline

1. Supervision of Student Hostel
2. Beneficiary Services
3. Housing Reservations
4. Housing Fees
5. Weekly Use of Student Hostel
6. Student Hostel services
7. Hostel Cards
8. Students Right to Change Rooms
9. Absence and Sleeping outside the Student Hostel
10. Student's Relatives
11. Leaving the Student Hostel
12. General Instructions for Resident Students
13. Duties of Resident Students
14. Hostel Prohibitions
15. Disciplinary System
16. Implementing Penalties.
17. Safety Measures and Specific Guidelines for Students of Determination.

Definitions

University: Ajman University (AU)

Chancellor: Chancellor of AU.

Vice Chancellor: Vice Chancellor for Academic Affairs responsible for approving the policy.

Student Housing Office: AU administration responsible for managing and organizing male and female Student Hostel.

Internal Housing Administration: Administration responsible for managing the Student Hostel. It is comprised of coordinators, supervisors and staff.

Financial Administration: University administration responsible for students' financial affairs. It is comprised of the Finance Manager and Financial Department staff.

Semester: One of the periods into which a year is divided at the university.

Student: Student, male or female, residing in the Hostel.

New Students: Students admitted to the University during the current semester. They are also target beneficiaries of the Student Hostel.

Participants: Students, males and females, utilizing the University housing facilities. They are also target beneficiaries of the Student Hostel.

University Housing Application Form: Application form filled by students to reserve a room at the Hostel. The form includes all the rules and regulations related to reservations and withdrawals.

Reservation: Service provided by the University Housing Office to define the specifications of the required room before the beginning of the semester.

Withdrawal: Withdrawal from the Student Hostel.

Service Fees: Fees paid by residents to the University Housing Administration for the services delivered.

Relatives: The persons with whom students are allowed to leave the Student Hostel during visiting times.

Policy Statements:

1. Supervision of Student Hostel

- The Students Housing Office manages the Student Hostel affairs and sets the relevant rules and regulations, according to AU bylaws. The Administration shall keep records of all students residing in the Hostel.
- The Deanship of Student Services shall be the supervising and regulatory authority responsible for AU Student Hostel.

2. Beneficiary Services

- AU dorms welcome all the students who have an AU ID based on the availability of the rooms. Students should adhere to the rules of occupancy.
- AU dorms can accept also internship students and students enrolled in AU education programs according to the availability and based on the decision of the Student Housing Manager.
- Also, students from other universities and graduate students shall be eligible for housing based on the decision of the Student Housing Manager.
- Students are accepted in the Hostel only after being medically checked by AU Medical Unit. To be admitted, students should be in good physical and psychological health.

Procedures

3. Housing Reservation

- The housing reservation form should be filled out after the student's admission to AU. The online form includes all the rules and regulations pertaining to reservation and withdrawal from the Hostel. By signing the application form, students accept AU Housing rules of occupancy.
- Senior students have to fill new online application forms by the end of each semester; otherwise they may lose their right to stay in the Hostel.
- Students lose the right to stay in the Hostel if they are accused of misconduct by the Student Disciplinary Committee.

4. Housing Fees

- The Chancellor decides on the housing fees in coordination with the Vice Chancellor for Academic Affairs, the Dean of Student Services and Student Housing Manager.
- To apply to the Student Hostel, students should fill out and sign the online housing reservation form and pay a security deposit upon submission and commit to pay the remaining fees in accordance with the rules set out by AU Finance Office.
- All fees shall be paid online. In some immitted cases, cash is accepted provided a proper receipt obtained from AU Finance Office. Student residents from outside the university should pay the rent at the Hostel, and the money shall be regularly transferred to the Office of Finance.
- Housing fees are paid per semester and are not transferrable between semesters. It is also not allowed to transfer them from one student to another.
- AU students can pay the housing fees with their tuitions, while interns and trainees who are still pursuing their education should pay a 50% advance payment and the remaining 50% should be settled during the semester. However, students from other universities should pay the full amount in advance.
- All student residents should pay a security deposit On the first entry at the Hostel which is refunded upon permanently leave.
- The Office of Finance at AU reserves the right to impose new housing fee rules and / or amend existing ones.
- The University Housing Reservation Form includes the dates of reservation and withdrawal along with a calendar for reservation and withdrawal rules.

5. Weekly Use of Student Hostel

- The Student Housing Office reserves the right to rent rooms on a weekly basis depending on availability. This applies to the following cases:
 - If the student was a resident in the previous semester;
 - AU students who need rooms for exceptional academic reasons or Graduated students.
- Housing priority shall be given to applicants who wish to rent on a semester basis.

6. Student Hostel Services

AU provides its students with an array of services, including the Student Hostel, managed by the Student Housing Office. Student Housing Office offer high-quality services to provide an enjoyable stay and a healthy environment that helps students enhance their academic achievements. It offers the below services:

- i. Fully furnished rooms.
- ii. Healthy, safe and secure living environment for all residential students.
- iii. Learning environment.
- iv. Cleaning and maintenance services.
- v. Laundry rooms.
- vi. Social and administrative supervision throughout the day.
- vii. Shuttle buses between the dorms and the university.
- viii. Security services.
- ix. Medical services.
- x. Group trips for shopping and activities.
- xi. Free WIFI.

7. Hostel Cards

- After being admitted, the Admission and Registration Department shall provide residential students with an AU Hostel card which color differs from that of the student ID card.
- The internal dorm administration gives female residential students pass cards with their picture and identification information on, which grant them access to the university and automatically record all their movements.
- The student ID card and the Hostel card are personal and should not be used by others. Students who lose their cards should notify the administration of the Hostel.

8. Students Right to Change Rooms

- Room assignments are done according to the rules set by the Student Hostel administration, considering the students preferences when possible. The administration shall make available the type of the required room, but not a specific room number. Students should stay in the room assigned to them and are not allowed to sleep in another room unless they get a written approval from the housing supervisor. The student's choice shall be taken into consideration based on the availability of the rooms.
- The administration takes into consideration students' desire to identify their roommates when possible.
- Residential students are not allowed to stay outside the room allotted to them.

9. Absence and Sleeping outside the Student Hostel

- Female residential students should submit a written permit from their parents to sleep outside the Hostel. The Supervisor should keep it in the student's follow-up file.
- Female Students who have a permit from their parents may obtain a temporary exit permit for the visit or overnight stay outside the Hostel according to the information approved by the parents. The permits will be monitored electronically by the internal administration.
- In case of absence without a written permit, the parents will be informed and the student receives a warning. If repeated, the student will be asked to appear in front of the Student Disciplinary Committee that takes the necessary measures.
- Female residential students should enter and exit the Hostel through the revolving gate using the access card. They should not leave the premises without their own card. If the card is lost, they must contact the reception desk to request a replacement.

10. Students Relatives

The Housing Administration may accommodate the student's first-degree relatives in single rooms only, according to availability, once during the first semester (three days only for free).

11. Leaving the Hostel

- The housing fees are charged for the whole semester, according to the AU academic calendar. The Student Hostel shall not receive students between semesters, unless there are exceptional cases, that must be performed. Housing fees during this period are collected on a weekly basis for the students who will not register for the next semester. according to the rules and regulations of the Housing Administration.
- At the end of the semester, students who have already reserved a room for next semester are allowed to keep their personal belongings in their rooms.
- At the end of the semester, students who will not reserve for next semester they must take all their belonging with them Upon leaving the Hostel permanently, otherwise a specialized committee will transfer the items to the store for a maximum of three months before they are disposed of.
- If students intend to vacate, they should hand over the room in the same condition as at the start of the tenancy.
- After completing the checkout process, the student should submit the clearance form, follow up with the supervisor and Office of Finance to complete the procedures and leave the Hostel accordingly.
- Students cannot obtain the security deposit until they leave the Hostel permanently and hand over the keys to their rooms.
- For the students who will not reserve for the next semester and will stay after the end of semester according to the AU calendar they must pay in advance weekly rent.

12. General Instructions for Resident Students

- Residential students should maintain disciplined behavior in line with Islamic norms and local traditions. They should also have civilized behavior and maintain their rooms, the furniture in them and their roommates' belongings in good condition.
- Residential students should focus on their studies and academic achievements. Students are encouraged to benefit from the cultural, sports and social activities organized by the Student Services Office and the Student Housing Administration.
- Female students' permits for leaving the Hostel should be based on an approved form signed by their guardian. No changes are permitted without a new approval of the female student's guardian.
- The female student's permit form should include the names of relatives allowed to visit the student. The visits are arranged according to the rules and regulations of the Student Housing Administration and at the places designated for visits.
- The female student's guardian is identified in her housing application, including their name and address. The female student's guardian must be a first-degree relative.

13. Duties of Resident Students

- Submit all required documents and correct data to the Internal Housing Administration.
- Residential students should sign a special form stating that they are fully responsible for the room furniture.
- Keep the room clean, make good usage of the housing facilities, respect the norms of good conduct, and visit areas in suitable attire;
- Take care of personal and valuable belongings since the Housing Administration is not responsible for their loss;
- Avoid misuse of electrical devices belonging to the University Housing Department or others. Turn off the lights and AC devices when leaving the room;
- Keep quiet and calm, and avoid using stereos or gathering in groups after 10 p.m.;
- Observe rational use of water and electricity;
- Behave well with the Student Hostel employees and report complaints to the housing supervisors
- Respect the Hostel schedule. The doors close at the female Hostel at 10:30 p.m., while they close at the male Hostel at 12:00 p.m., except for emergency situations accepted by the housing supervisor;
- Keep track of female residential students by taking night attendance.

14. Hostel Prohibitions

- Having inappropriate behavior and acting against Islamic norms and the values and traditions of the UAE;
- Behaving against the University values, rules and regulations;
- Abusing the use of the housing facilities.

- Owning weapons or explosives.
- Having magazines or video tapes, including photographs or any other materials that are not in compliance with the general norms.
- Using kettles and other water boilers on gas or electricity, which can cause fire inside the rooms.
- Bringing pets to the Student Hostel.
- Displaying any posters or photographs, or writing and drawing on walls or furniture, or misusing any housing facilities.
- Bringing children to the Student Hostel.
- Any act not allowed by the University Housing Administration.
- Smoking cigarettes or Shisha inside the rooms.
- Using incense burners and candles.
- Misusing regular cameras and mobile phone cameras in a way which violates the privacy of fellow students.

15. Disciplinary system

- A. If the female student violates AU regulations or housing rules, or the customs, circulars or decisions of either of them, she will be subject to one of the following penalties or procedures, depending on the severity of the violation:
 1. Deprivation of certain or all privileges and/or services and/or permits for a specified period.
 2. Verbal or written warning.
 3. Dismissal from housing.
 4. Referral of the file to the Legal Advisor who will transfer it to AU Chancellor – according to the University's regulations - for referral to the Student Discipline Committee. The latter will apply in this regard the discipline regulation of AU students, even if it is contrary to this regulation.
- B. The Hostel Manager or their delegate are authorized to dismiss the student from the Hostel only after a written recorded investigation.
- C. The decision of the Hostel Manager to impose any of the penalties stipulated in sections 1 to 3 is subject to appeal to the Dean of Student Services at AU or their delegate within 10 days from the date of notifying the student by e-mail or by any other written means.
- D. The Housing Administration has the right to inform the student's guardian about the violation and/or the disciplinary decision against her. It also has the right to publish the disciplinary decision on the billboard at the Hostel after removing the student's name.

16. Implementing Penalties

- Violations 1-3 shall be implemented by the Student Housing Administration.
- The Student Disciplinary Committee has the right to decide any of the penalties.

- The penalties decided in Article 15 are final. In case of dismissal from the University, the student can appeal to the President Office within a week from receiving the written decision from the Student Disciplinary Committee. The President's decision in the student's appeal is final.

17. Safety Measures and Specific Guidelines for Students of Determination

- A comprehensive evacuation mock drill plan is displayed in each room/floor, in compliance with the guidelines of the General Directorate of Civil Defense in Ajman.
- Residents receive proper training to exercise caution when using electrical, gas or fire equipment.
- The fire extinguishing equipment is available and regularly maintained in compliance with the international safety standards.
- The residential building is equipped to meet the accessibility and accommodation needs of students of determination.
- AU strives to provide an accessible and safe environment for students of determination to fully participate in the residential component of the university experience. For instance, AU provides appropriate access to all buildings by ensuring accessible routes, curb ramps, and wheelchair accessible units, including parking and passenger loading zones, elevators, and restrooms.
- An Emergency Evacuation Procedures have been established to properly address the emergency needs of students of determination and are published online, https://www.ajman.ac.ae/upload/files/ehs/AU_EHS_Manual-May_2019_-_For_Publication.pdf
- AU also provides an emergency evacuation chair to ensure a quick and safe evacuation during emergency situations.

Related documents

Rules of occupancy

- The Hostel procedures are provided in the Students Hostel Manual and is available in the Office of Students Housing and online <https://www.ajman.ac.ae/en/experience/hostel-life-and-housing/hostel-services>.

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
V1.2	27/02/2020	Revised two sections: Violation of Housing rules and the Penalties	Student Housing Manager
V 1.3	31/03/2021	Update section 11 & 15	Student Housing Manager
V 1.4	19/09/2021	Inclusion of section 17-Safety Measures and Specific Guidelines for Students of Determination Formerly titled "Residence Halls Policy".	Student Housing Manager

Health Services Policy

Policy Owner	Medical Services Manager	Responsible Office	Office of Medical Services
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

This policy aims to provide guidelines and protocols to the Office of Medical Services and their obligation to meet and exceed the expectations by delivering high quality care that is safe, effective, and timely, in addition to attain the highest level of patient satisfaction and comfort.

Scope

This policy is exclusively applied to AU Community, and not for the general public, and it applies to all premises and activities within the control of the University.

Statement

The medical clinics seek to complement the academic mission of the University and are dedicated to provide educational, supportive and consultative healthcare services to AU community. In doing so, the medical clinics strive to make the campus a healthy and safe place to study, work and live.

Procedures

- a. The University is committed to providing and maintaining a healthy and safe working environment that promotes the wellbeing for all its employees, students and others who may be affected by its activities. The ultimate responsibility for ensuring the implementation of this policy lies with the University's Office of Medical Services.
- b. The Office of Medical Services is responsible for ensuring the compliance with the University's Health Services Policy within its scope of control and it is required to report annually on the medical safety action plans. They have a key role in encouraging a positive attitude to health and safety through appropriate management arrangements, in line with the guidelines of MOH/MOE and AU EHS office.
- c. All employees 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 to abide by the rules and requirements made under the authority of this policy.
- d. Vaccination requirements for AU students:

All students are required to have a complete vaccination record at registration time as per the MOH/MOE guidelines and requirements. Any special case regarding the vaccination is discussed with the student individually.

- e. Duties and responsibilities:

The Office of Medical Services provides the following primary healthcare services, within the available capabilities of its clinics:

1. Round-the-clock services for males and females' patients.



2. General clinics: emergency care, primary healthcare, treatment, preventive medicine and health education on common diseases to the University's Community.
 3. Nursing: comprehensive nursing care and services, including routine and emergency care, daily recording of patients' details and provided treatments.
 4. Reception: receiving patients, preparing their files and records, recording personal data, preparing daily, monthly and annual statistics.
 5. Referral system: referring urgent cases to hospitals.
 6. Following up chronic cases and coordinating referrals to hospitals if necessary.
- f. Screening and approving medical checkups for new students.
- g. Medical units

The medical units ensure that a healthy environment is maintained in all of the University's premises, and provide students with the following medical services:

1. Examination and treatment's prescription as appropriate.
2. Emergency treatment.
3. Medical supervision of sport and social activities.
4. Raising health awareness among AU Community.
5. Organizing seminars on medical problems for the benefit of the students.
6. First-Aid awareness sessions.

Objectives

This policy has the following objectives:

- a. Comply with the requirements of relevant legislation and current good practice.
- b. 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;
- c. Meet the safety and health standards and regulations issued and enforced by:
 1. UAE Ministry of Health and Prevention,
 2. OSHA*-approved international guidelines (OSHA*: Occupational Safety and Health Administration, USA) regarding Personal Safety Guidelines (PPE), First Aid Kits, First Aid Emergency Standards, Items Sterilization, Workplace and Environment Safety, Occupational Safety and Health Standards, and Hazardous Waste Operations.
- d. Promote a positive attitude to health and wellbeing at the University amongst all employees and students.
- e. Ensure that employees, students and others are adequately informed of the relevant identified risks.
- f. Ensure that employees, students and others receive appropriate guidelines, training and supervision.
- g. Ensure that employees and students are competent to deal with the risks they encounter.
- h. Consult widely with employees and students and with employees' representatives on health matters.
- i. Ensure that this documentation and supporting information is made accessible, primarily through the University's web pages.
- j. Make arrangements for coordination and cooperation with other employers.
- k. Monitor actively the management of risks to health;
- l. Review the effectiveness of health risk management and where appropriate to implement improvements.

Services

As part of the registration requirements of Ajman University, a student medical check-up is mandatory.

1. The medical check-up form is available at the AU medical clinics, or through the AU website:
<https://www.ajman.ac.ae/en/student-life/health-services/medical-check-up-instruction>
2. The medical form should have the applicant's registration file number or the student's ID e.g. (2020.....)
3. The student should take this form to any of the hospitals listed below, where the doctor will fill it out.
4. Once the medical test is done, the hospital's medical report needs to be approved by the University's medical office before submitting it back to the Office of Registration.
5. Students who live outside of the Emirate of Ajman can take the medical form to their nearest MoH facility (Preventive Medicine) or to any UAE hospital to have this medical test done at their convenience. They can also go to the hospitals listed below.
6. Students are required to send the filled form by email to (medicalservices@ajman.ac.ae) or deliver it to the University's Office of Medical Services for approval before submitting it to the Office of Registration.
7. Students residing outside UAE are required to get their medical test done in any hospital across UAE.
8. Medical tests performed outside UAE will not be accepted.

Miscellaneous

- a. This policy supersedes any previous related policies, procedures, minutes of meeting, manuals, handbooks, and bylaws.
- b. The Office of Medical Services is responsible for handling any issues that might arise and are not covered in this policy, and raise recommendations through the Office of Chief Operating Officer for the Chancellor's final discretion.
- c. Any exceptions to this policy must be well justified and sent to the Chancellor for a final decision.
- d. Ajman University reserves the right to make changes to its policies at any time and for any reason.
- e. The updated policy will be deemed to have been delivered, received, and known by all employees one day after posting the updated policy on the website, or circulating the updated version by email. The employee shall comply with the updated policy since its effective date.
- f. Employees shall comply with the updated policy since its effective date.

Effective Date

This policy shall be in effect as of September 1st, 2021.

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
V 1.2	27/05/2021	Minor change	Medical Services Manager

Hazardous Waste Disposal Policy

Policy Owner	Environmental Health and Safety Officer	Responsible Office	Office of Environmental Health and Safety
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

This policy provides guidelines and expectations for the safe handling, storage, and disposal of hazardous waste generated by experiments learning and operational activities on AU campus.

Scope

This policy applies to students, faculty and staff members, contractors, and visitors who generate and handle hazardous waste.

Definition

Hazardous waste: is a waste with properties that make it dangerous or capable of having a harmful effect on human health or the environment. Hazardous waste is generated from many sources, ranging from industrial manufacturing process wastes to batteries and may come in many forms, including liquids, solid gases, and sludges (Source: Environmental Protection Agency EPA-USA).

Statement

Ajman University will manage, as far as is reasonably practicable, all hazardous waste activities falling under its control to minimize the potential harm to the human health of the faculty, students or the environment. All hazardous waste shall be handled in accordance with local regulations, environmental protection laws, and disposal costs. Responsibility for compliance with hazardous waste regulations begins with the person generating the waste and follows through to disposal.

Procedure

This procedure covers the identification, handling, storage, collection and disposal of hazardous waste on AU's facilities.

Hazardous Waste identification, handling, and disposal

A. Hazardous Waste identification

The hazardous waste produced by AU may include: Batteries (acid batteries), waste oil, paints and grease, electronic waste, chemicals and pharmaceutical products, medical disposables. Waste can be identified as hazardous if it exhibits the following characteristics:

1. Ignitability

- Flammable Liquids with a flashpoint $<60^{\circ}\text{C}$ such as alcohols, acetone, ethyl acetate, mineral spirits, gasoline.
- Oxidizers such as nitrates, perchlorates, bromates, permanganates, peroxides, iodates.

- c. Organic Peroxides such as benzoyl peroxide, cumene hydroperoxide, methyl ethyl ketone peroxide.

2. Corrosivity

Aqueous liquids with a pH < 2 or > 12.5 or other liquids capable of corroding steel at a rate of > 6.35 mm per year at a test temperature of 12.778°C.

- a. Inorganic Acids such as hydrochloric acid, sulfuric acid, nitric acid, perchloric acid, phosphoric acid.
- b. Organic Acids such as formic acid, lactic acid.
- c. Bases such as hydroxide solutions, amines.

3. Reactivity

Material which can react violently or create toxic fumes:

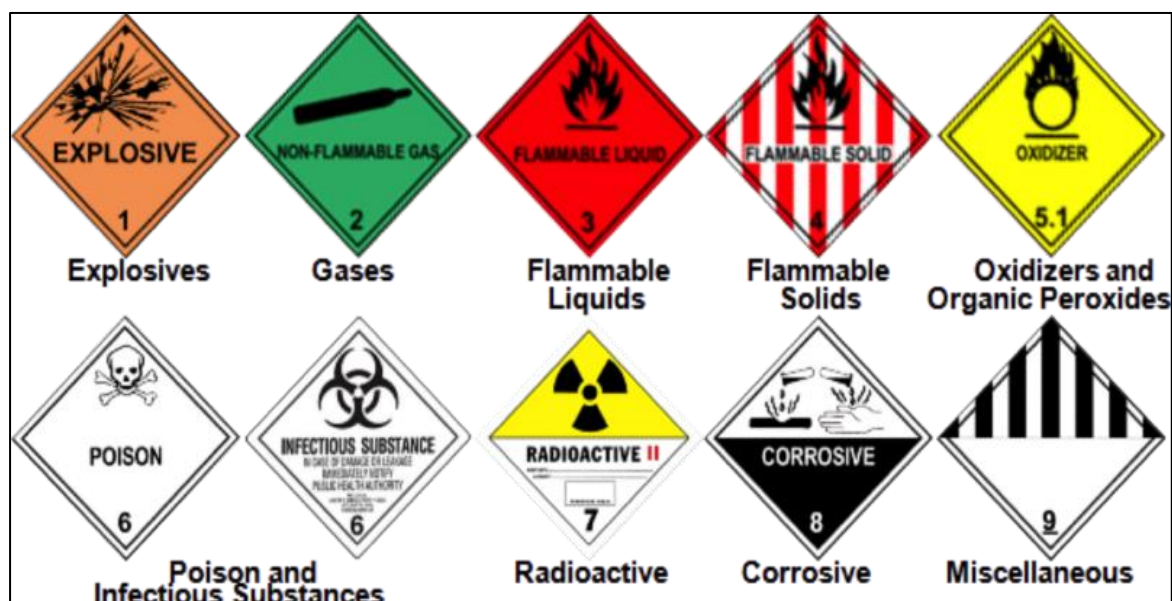
- a. Sulfides and cyanides
- b. Peroxide formers such as ethers, potassium amide, sodium amide, vinyl acetate, tetrahydrofuran.
- c. Water reactive material such as sodium, potassium, lithium, calcium carbide.
- d. Multi-nitrated compounds such as picric acid, nitrosoguanidine, trinitroaniline.
- e. Perchlorate crystal formers such as perchloric acids.
- f. Compounds that may undergo vigorous polymerization such as acrylic acid, vinyl acetate, methyl acrylate.

4. Toxicity

A waste which, when using the toxicity characteristic leaching procedure (TCLP), leaches any number of metallic, organic, or pesticide constituents in concentrations greater than specified in the regulation. Examples for these elements include arsenic, barium, cadmium, chloroform, chromium, m-cresol, mercury, selenium, and silver.

B. Hazardous Waste Handling and Storage

- a. Laboratories and other areas that use chemicals (i.e. dental clinics, pharmacy labs, maintenance workshops, anatomy lab, and chemistry labs) must provide hazardous waste containers within their respective areas.
- b. Appropriate hazardous waste storage containers need to be selected according to the waste type. The containers shall be clearly labelled including the following data:
 1. The composition and physical state of the waste.
 2. A statement that calls attention to the hazardous properties of the waste.
 3. Name and location of the waste generator.
 4. The date when accumulation began.
 5. The category of hazardous waste (from 1-9), as per the below classification:



6. Corrosive waste should be placed in plastic instead of steel drums, unless the steel is lined with plastic. Steel can corrode, causing drum leaks.
7. A separate, well labelled and access-controlled area shall be dedicated for hazardous waste quarantine in each of the hazardous waste generating college/ office. This quarantine area can be used for temporary storage of generated or expired waste before proper disposal. The area should be clearly identified as a hazardous waste storage area and should be designed to prevent secondary containment.
8. The temporary storage area of hazardous waste before transportation into disposal channels by authorized companies, needs to be well-ventilated, temperature controlled in such a way that there is no overheating or accumulation of humidity, equipped with the appropriate firefighting systems, and access controlled. It is advised not to stack the hazardous waste containers, and to keep them off the floor level by using plastic pallets.
9. Every college/ office that generates hazardous waste is required to have a written emergency contingency plan approved by the Dean/ Manager and designed to minimize hazards to human health and the environment from fires, explosions or an unplanned sudden release of a hazardous waste.
10. Every college/ office that generates hazardous waste is required to fill up the record D1- Waste Management Plan, and email a copy to Office of EHS at the beginning of each academic semester.

C. Hazardous Waste Collection and Disposal

- a. Disposal of hazardous material into sinks, drains, commodes, or other sewage disposal channels is **STRICTLY PROHIBITED**.
- b. All waste shall be disposed by AU with the permit or approved waste disposal contractor in accordance with the local controlled waste regulations mainly "Hazardous Waste regulation Law 21 of 2005" and where necessary to fulfill the regulatory requirements for the carriage of dangerous goods, if applicable.
- c. Waste handled at AU shall be identified as hazardous, non-hazardous and appropriate segregation, storage and disposal plan shall be made. Wastes, which can be recycled, reused, shall be reviewed wherever practicable.

- d. Waste disposal must be carried out through an approved contractor only and the extent of control shall be established and monitored with appropriate records.

Effective Date

This policy shall be in effect as of September 1st, 2021.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	06/07/21	New Policy	Environmental Health and Safety Officer

Information Technology Policy

Policy Owner	Director of IT	Responsible Office	Office of IT
Approved By	Chancellor	Effective Date	Apr. 2022
		Next Review Date	Apr. 2025

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, datashow, 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 Admissions & Registration, and databases developed for the Office of Finance.

Systems & Network Administration Unit

The main responsibilities of this unit consist 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.

E-Services Unit

The primary role is to manage and facilitate the implementation of institutional strategy for academic and administrative staff across the University.

The E-Services 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 E-Services 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. All such documents are published on the website <https://it.ajman.ac.ae/>.
- 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. Applications.
- h. Teaching and Learning Technology; and
- i. 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 & 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 & 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 & 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 cancellation 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
- AU Applications and shared resources.

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 Systems, such as ORS (E-Request) system and Banner Registration system.

The student email remains active as long as the student is enrolled at an academic program. The email will be either transferred to alumni email service after graduation, or will be disabled if the student discontinued.

The Alumni email service is managed by the Alumni Office at AU.

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. The Internet

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 hookup, 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 Technology

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 the use of teaching and learning technology:

- 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 and Settings:

The Office of IT have implemented the following security measures on passwords:

- **Applied Password Policy and Settings on Network/Email Account:**
- **Password Policy**
 - Enforce password history 10 passwords remembered (Password should be different than last 10 used passwords).
 - Maximum password age 180 days (Password should be reset after 180 Days).
 - Minimum password age 0 days.
 - Minimum password length 8 characters.
 - Password must meet complexity requirements Enabled (Password should be complex)
 - Multi-Factor Authentication (MFA) is enabled.
- **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 20 minutes.
 - Account lockout threshold 5 invalid logon attempts (Account will be locked after the 5th invalid attempt)
 - Reset account lockout counter after 20 minutes (the locked account will be unlocked automatically after 20 minutes).
- **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.

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 & 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 & 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 are 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 is 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 needs 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 & 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:

1. Periodic Maintenance and Updating:

- 1.1. The Office of IT is responsible for providing support and maintaining (or arranging maintenance for) all computing and network resources including faculty and staff PCs. It is also responsible for maintaining and upgrading of IT resources, hardware and software, for IT Network infrastructure and AU Data Center.
- 1.2. 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 respond to the request and carry out the required maintenance job.
- 1.3. 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, etc.) can be scheduled during the equipment's life cycle.
- 1.4. For each computing lab:
 - The college shall be responsible of obtaining/replacing the PCs in the computer lab and required software in the 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.
 - The college shall coordinate with the Office of IT to ensure that all resources in the computing labs of the concerned college are regularly maintained and upgraded, if needed, to the satisfaction of the faculty members, and students.

2. Periodic Replacement :

In general, computers should be replaced in specific situations where 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.

2.1. Platform and Operating System at AU:

The IT infrastructure at AU is built on Microsoft Technology; therefore, the standard platform and operating systems are as follows:

- Platform:
PC is the standard platform, however, other platforms; such as Apple products, can be supported based on the functional requirements, such as but not limited to; graphic design, video making, and educational purposes.
- Operating System (OS):
Windows is the recommended OS, however, other OS, such as IOS and Linux can be supported based on the job or educational requirements, under the following conditions:
 - a) The device will be connected to internet access and deal as Bring Your Own Device (BYOD).
 - b) The access to AU intranet applications, if needed, can be provided with limited options

2.2. 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.

3. Ownership and Life Cycle of Computer Devices:

- 3.1.** 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.
- 3.2.** The standard life cycle of any computer device is five years, including desktop computers, laptops, Mac devices or iPads. The life cycle of lab servers is determined by the application software and shall be established individually.
- 3.3.** Areas that require technology that is more contemporary may receive new computer devices more often than the standard life cycle. This shall be established in consultation with the college Deans, and identified on the replacement schedule.
- 3.4.** The Office of IT is the authorized level to provide technical feedback on the existing devices or recommendations on any requested device. The recommendations include the specifications, platform, OS, model or brand, which will be primarily based on the user's functional requirements and the use within AU and its IT infrastructure.

According to the above-mentioned Ownership and Life Cycle, the following procedure shall be followed:

- The faculty/ staff member should handover the old device to the Office of IT upon receiving the new one, where the ownership of the old device will return to AU custody.
- Staff members under the category mentioned below are eligible for one desktop/ AIO device, not a laptop, while other categories are eligible for laptops:
 - a) Receptionists
 - b) Secretaries
 - c) Front Desk Staff
- Senior Management, deans, and managers are entitled to request iPad, in case their job requires such device.

4. Damages/Replacement before the device's standard life cycle:

4.1. Replacement of the device before the end of its life cycle:

The Office of IT will check and provide a technical report, and accordingly, the following policy will be applied:

- A. The user will be responsible for any damage due to misuse.
- B. The respective college/ office of the faculty/ staff will be responsible to cover the cost of repair if it is a minor damage (not due to misuse), and the device can be repaired as long as the cost of repair does not exceed 30% of the original cost of the device.



- C. The respective college/ office of the faculty/ staff member will be responsible to order a new device if the damage is not due to misuse and the cost of repair exceeds 30% of the original cost of the device.

4.2. Replacement of faculty member's laptop after three (3) years:

- A. A faculty member sends a request to Office of IT ([helpdesk](#)) to request specifications for the new laptop, with the Ref. No. of the current laptop, and list of needed or used software.

Please note the following:

- Faculty members in college of Engineering and IT, and Graphic Design in college of Mass Communications, are eligible for laptop with higher specifications.
 - College Secretary may initiate the request on behalf of the user.
- B. Office of IT Helpdesk will contact the faculty member to check the purchase date of the current laptop to verify the laptop's lifetime, prepare the status report with recommendations, and then send the report to the faculty member/requester.
- C. The college secretary should proceed with the purchase processes by issuing the budget request and following the procurement cycle.
- D. As soon as the new laptop is delivered, the faculty member should handover the old laptop and collect the new one from the Office of IT.

5. Replacement and recycle after the maximum life cycle of five years:

5.1. Faculty Members:

The college secretaries will prepare lists of all faculty members who are eligible for new replacement laptops and proceed with the applicable procurement cycle. The Office of Procurement shall verify the eligibility terms and then issue a purchase order after consulting with the Office of IT on the technical specifications.

5.2. Staff Members:

The staff member should contact the Office of IT to check the condition of the device and provide a technical report with recommendations; whether the device needs to be replaced, upgraded, or if it is in a good condition that satisfies the work requirements. If it is recommended to be replaced, the respective college/ office should proceed with the procurement cycle to purchase the new device.

- 5.3. The distribution of recycled equipment is to be identified in the replacement schedule and managed by Office of IT and central representatives for their respective inventories.

- 5.4. For budgeting purposes, computer replacement should be included as an annual, specifically identified line item in the unit's budget.

- 5.5. Replacement computers are to be purchased on a University-wide basis.

The Office of IT establishes a standard computer configuration for each purchased device. Some installations require additional options. A procedure will be developed in consultation with the Office of Finance and the Office of Procurement to determine the best options to budget and purchase such devices.

- 5.6. 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.
- 5.7. For planning purposes, a computer's projected replacement date should be established when initially acquired.
- 5.8. Replacement orders will occur within the University's established computer ordering cycles.
- 5.9. Distribution decisions are made on a University-wide basis in advance of replacement due dates. Upon the installation of a replacement computer, the recycled device is normally returned to the warehouse or campus storage location awaiting redistribution after all new replacement devices are installed.
- 5.10. Requests for recycled computers should be made to the Office of IT.
- 5.11. If an additional computer device is needed within an office or college, the unit should first look to acquire a device from stock, of the same vintage as the rest of the unit's equipment. The goal is to keep the entire 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 23:00	Data Domain
SIS	SQL DB Backup (Full)	Daily at 20:00 Every 4hours Transaction Log	Data Domain
Dynamics-AX	SQL DB Backup (Full)	Daily at 20:00 Every 4hours Transaction Log	Data Domain
HR-net	SQL DB Backup (Full)	Daily at 22:00	Data Domain
OAS/ ORS	App Data Full	Twice a week (Mon, Fri 20.00)	Data Domain
Library System	App Data Full/ DB	Weekly Thursday, 22:00	Data Domain
DC Servers	Full Backup	Twice a week Mon, Fri 01:00	Data Domain
Windows Servers	Full Backup	Twice a week Mon, Fri 1:00	Data Domain
Archiving System.	SQL DB Backup (Full)	Daily At 16:00	Data Domain
	App Data Full	Twice a week Mon, Fri 2:00	Data Domain
University Website	Database Backup	Daily at 1:00	Data Domain
	Full backup	Daily at 1:00	
E-Learning System	Full backup	Daily 1:00	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, 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 have 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 and support for the E-Learning system are done by an outsource company.

Data Replication to Cloud

A copy of databases is replicated to azure cloud for the below systems weekly at 22:00:

- Banner Oracle Database.
- HR.NET Database
- Dynamic AX

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	Director of IT
V 2.1	03/10/2017	Minor review to back-up, maintenance, internet usage	Director of IT
V 2.2	24/11/2019	Minor Review to Paragraph “ Maintenance and Replacement of Computing & Network Resources” – Replacement of faculty member’s laptop after 3 years	Director of IT
V 2.3	26/04/2022	Minor changes – E-services and backup schedules	Director of IT

8. Learning Resource Center



جامعة عجمان
AJMAN UNIVERSITY

Library Policy

Policy Owner	Library Manager	Responsible Office	Library
Approved By	Chancellor	Effective Date	Feb. 2021
		Next Review Date	Feb. 2024

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 figure. 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 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 provides 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 insistance, 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 in 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:
 - a. *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;
 - b. *Currency of information*: this is especially important in disciplines where information dates rapidly;
 - c. *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 run 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 replaced 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)	
	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
V 3.0	18/02/2021	Minor Changes – Updated database information and library working hours	Library Manager

9. Fiscal Resources, Financial Management and Budgeting



جامعة عجمان
AJMAN UNIVERSITY

Financial Policy

Policy Owner	Finance Manager	Responsible Office	Office of Finance
Approved By	Chancellor	Effective Date	Jun. 2021
		Next Review Date	Jun. 2024

Purpose

The primary purpose of the Financial Policy is to establish financial rules and procedures to guide the Ajman University community and set financial standards, to enable efficient management of all financial and physical resources to 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. AU's Chancellor has overall responsibility for approving and controlling expenditure.

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.

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 Incharge of Cash section 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 Main accounts section 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 office of budget 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 office of budget shall be based on the annual approved budget limits of the concerned office/college.

b. Prepaid Expenses

The Main accounts section will receive the supporting documents pertaining to prepaid expenses such as: Tenancy contract, Agreements, and Requests for payments, after being approved by Office of budget.

A bank payment voucher will be prepared based on these documents, which will be sent to the Director of Finance for approval. The agreements and contracts will be electronically stored in the system by the Main accounts section.

Based on the approved voucher, the Main accounts section 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 Main accounts section 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 Main accounts section 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 Main accounts section will prepare a schedule of accruals, which will be sent to the Director of Finance for approval. After obtaining the Director of Finance'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 a Purchase Requisition in the system. This Purchase Requisition will be completed by any staff member and signed by the Office Manager/College Dean. The Purchase Requisition will indicate the items/service required and justification for the proposed expenditure.
- The Purchase Requisition will be first passed to the Office of budget 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 Chief Operating Officer who will review it and ask for further clarifications and/or justifications regarding the expenditure shall further approve the requisition. The Director of Finance's final decision will result in any of the following situations:
- 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 Office of budget 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 based on recommendation from the Budget Committee, then it can be processed.
- 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 Director of Finance 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 Office of Budget for approval, next to the Office of Procurement for approval and then to the Main Accounts section for approval and processing.
- The approved PCPR with its supporting documents will be considered for preparation of payment to the petty cash holder's prepaid card. The PCPR and the supporting documents will be validated by an Accounts Payable accountant, and then be posted to relevant accounts.
- The PCPR will be attached to the journal voucher generated by the Accounts Payable accountant 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 Main Accounts section 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 Main Accounts section 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 Main accounts section will prepare a cheque or transfer letter or online payment requests based on the approved BPV in favor of the beneficiary for the requisite amount. The cheque or transfer letter or online payment requests and BPV details will be sent to the authorized 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 Director of Finance. 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 Director of Finance for approval.

2. Quarterly Financial Statements

- The most important reports to be generated each quarter are the Quarterly final statements.
- 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 Director of Finance for review.
- The Director of Finance will then review the financial statements and make any necessary comments.
- Then the Director of Finance will sign off on the financials 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.

Vat Filing

- The return has to be made along with the required payments before 28th of next month for every quarters ending 30th June, 30th September, 31st December and 31st March.
- The return has to be done after posting all the necessary vouchers for the students and suppliers.

- After posting all the vouchers, input VAT apportionment to be done to allocate the residual VAT to recoverable and non-recoverable sections.
- For the output VAT, it is required to calculate the VAT on the credit balances in the student accounts for the advances received.
- After the input apportionment and the posting of all vouchers related to the output VAT, the return file has to be prepared and the invoice and transfer letter need to be created in the FTA vendor account.
- Once it is reviewed and approved by all the concerned parties, the transfer letter is sent to the bank.
- The filing is done as per the approved VAT return file in the FTA portal before 28th of next month after the VAT period.
- Once the VAT year is completed, at the end of the next quarter, annual washup calculation and the input apportionment to be done.
- The detailed steps in the VAT filing process is included in the AU VAT manual.

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

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
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
V1.3	10/06/2021	Minor changes- Vat filing	Director of Finance

Cash Management Policy

Policy Owner	Director of Finance	Responsible Office	Office of Finance
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

This policy serves as a guideline for safeguarding Ajman University's cash resources, in addition to describing the flow of cash in terms of accepting cash from students, acceptable currencies, postdated cheque requirements, remittances through banks, and regular transfers of available balances into the bank accounts.

Definition for Accepted Currencies

- A. The accepted currencies by the University are:
 - 1) GCC currencies.
 - 2) U.S Dollar (USD)
- B. Foreign currency exchange rates: The Office of Finance will define the fixed exchange rate for each currency. Rates are defined as per the daily market rate.

Statement

AU follows certain rules and procedures to govern the process of collecting cash and depositing it into bank accounts, in a way that minimizes the risks and increases AU's ability to use its own cash resources to meet the daily spending requirements while keeping bank borrowings at minimum.

Collections from Students/ Clients

- A. The following types of payments are accepted by the University:
 - 1) Online payments.
 - 2) Cash payments (in currencies mentioned in "clause 2.A" above).
 - 3) Current dated cheque payments.
 - 4) Post-dated cheque payments.
 - 5) Card payments.
 - 6) Wire transfers/ direct bank deposits.
 - 7) Payments made through the KIOSK.
- B. The following points related to cheques, bank transfers and deposits shall be considered:
 - 1) Payments by cheques must be in local currency and the cheque to be drawn on a local bank.
 - 2) Payments by postdated cheques should comply with AU internal policy, and this is usually subject to prior approval, based on the cheque collection history of the student/ client.
 - 3) Payments received through wire transfers/ direct deposits shall be credited to beneficiary's account after checking the bank statement to ensure receiving the amount into the bank account.

Bank Remittance

- A. The daily collected funds shall be transferred to the bank in following business day. This is usually done through a third-party money transfer company.
- B. In some periods of high collections (i.e. during registration), the Office of Finance shall coordinate with the bank to collect the cash balances from the University by the end of the business day to avoid keeping large cash balances on campus.

Receipts Prior to Deposit

- a) Any undeposited cash or cheques should be maintained in a secure fireproof safe, cabinet or lock box.
- b) Access to these cash balances and cheques should be limited to the authorized persons.
- c) Postdated cheques should be handled the same way as cash amounts and must be deposited into the bank account immediately.
- d) Cash should be kept in a secure and well-protected location.
- e) Collected cash must be deposited into the bank in the next business day maximum.
- f) Payments from the imprest funds should be segregated from the collected amounts.
- g) The cash safe has two keys; one of them is kept with the Head/ Senior Officer of Teller Operations, and the other with the Director of Finance. A duplicate set of the keys should be stored in the safe custody of the Director of Finance.
- h) Theft and fire insurance should be purchased for the cash in the safe and in transit. A fidelity insurance cover for the persons involved should also be obtained.
- i) The safe should be locked at the end of the business day and whenever the Head/ Senior Officer of Teller Operations is not available.

Receipts Deposits

Collected funds must be deposited on a regular basis into the bank account and within the specified time frame.

- a) All receipts (cheques/cash) should be deposited daily into the University's bank account.
- b) At the end of the business day or during the day, the Office of Finance shall prepare a bank deposit slip in duplicate. The relevant information shall be recorded on the bank deposit slip.
- c) The bank account into which the cash will be deposited shall be determined prior to allocating account codes to the bank's receipt voucher.
- d) The funds shall be given to an external security/ money transfer agency to deposit into the bank account.
- e) The cash, cheques and the bank deposit slips shall be taken to the bank. The original slip will be kept by the bank and they shall return the duplicate duly acknowledged and attached to the relevant Remittance Voucher.
- f) To ensure prompt banking, the Office of Finance shall reconcile the total amount of the cash deposited into the bank with the total amount of receipts for the day.

Reconciliation of Receipts and Deposits

- a) At the end of every month, after reconciling the bank statement with the general ledger, a bank reconciliation report must be prepared.
- b) If any shortage/excess amounts are discovered during the reconciliation process, the discrepancy should be investigated. If the money is to be recovered from the staff, she/he should reimburse the shortage promptly. If prompt reimbursement is not possible, the shortage should be debited to the staff's personal account and then reclaimed from the salary or other amounts due to the staff.



- c) The amount of all receipts will be compared to the bank deposit slip. Prior to uploading into the system, the account codes and supporting documents will be reviewed.
- d) The accountant will check the transactions log to make sure the account codes were entered correctly in the system.
- e) The "cancelled" stamp shall be applied to all cancelled copies of Receipt Vouchers (RVs), and missing sequence numbers will be investigated.

Effective Date

This policy shall be in effect as of November 1st, 2021.

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
V 1.3	10/06/2021	Policy revisited - with minor updates	Director of Finance
V 1.4	08/07/2021	Policy revisited - with minor updates	Office of the COO

Procurement and Stores Policy and Procedures

Policy Owner	Procurement Manager	Responsible Office	Office of Procurement
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

This policy and the relevant procedures are stipulated to guide the AU Community in all its procurement activities.

Scope

This policy applies to all AU Colleges and Offices with regard to processing their procurement and stores requirements.

Definitions

Wherever they appear in this policy, the following words and phrases shall have the following denotations unless the context indicates otherwise:

- a) **Office of Procurement:** The organizational unit that carries out the tasks related to procurement and stores.
- b) **Delegation of Authority Guide:** The set of rules and regulations that govern the delegation of authority regarding financial and non-financial matters or equivalent.
- c) **Policy:** The rules and provisions provided for in this policy which are in line with the University's Strategic Plan.
- d) **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.
- e) **Procedures:** The instructions and detailed steps which must be followed in implementing the contracts.
- f) **Supplier:** The external party which supplies various types of material that the University needs.
- g) **Contractor:** The natural or legal person who provides all services needed by the University or carries out works for the University, including the delivery of material deemed as part of the scope of work.
- h) **Requester:** The designated person from College or Office who is responsible for initiating purchase requests.
- i) **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 material and goods.
- j) **Contract Value:** The original value of the contract added to it the value of all variation orders, if any.
- k) **Variation Order:** Any change order relating to any paragraph or article or provision or condition provided for in the contract issued by the Office of Procurement or a legally competent entity authorized thereof.
- l) **Purchase Order:** An agreement between the University and a supplier to deliver goods, material or services that explicitly specifies financial limit, payment terms and method, and delivery time, issued directly by the Office of Procurement.



- m) **Price Agreement:** A specific formula for concluding contracts with suppliers to procure and deliver material or services over a specified period of time with a view to facilitating the procurement procedures.
- n) **Direct Purchase:** A method of purchase under which the contractual process is conducted directly by approaching a single supplier or contractor without a need for contacting various suppliers to request quotations; such a method depends on the Office of Procurement's experience and knowledge of the market circumstances, with the end result of obtaining best prices.
- o) **Practice Purchase:** The method of procurement under which the process of procuring material and services is conducted by requesting quotations from registered and approved suppliers via electronic means or sealed envelopes. Following a screening and evaluation 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 policy.
- p) **Procurement through Competitive Bidding:** The method of procurement under which the process of procuring goods and services as per certain specifications involves inviting offers electronically or in sealed envelopes from various suppliers. The envelopes are opened by the Procurement Committee. 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.
- q) **Public Tender:** The tender notice is advertised on newspapers, magazines or other online 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 Office of Procurement.
- r) **Restricted Tendering:** A specified number of registered suppliers and contractors are pre- selected by the Office of Procurement and invited to bid for the supply of the required goods as per the terms and conditions laid down by the Office of Procurement.
- s) **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 main factor upon which the offer is accepted and the purchase order is issued and the contract or price agreement are concluded.
- t) **Invitation to Bid:** A written request/invitation advertised on newspapers, magazines, Ajman University portal, other online media outlets (in the cases of public tendering) or sent directly to a number of preselected suppliers or contractors (in case of restricted tendering) asking them to submit itemized quotations to purchase specified goods, provide services or execute works.
- u) **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.
- v) **Task Order:** An order issued for the performance of specific services. It is used to obtain some simple services and do non-jobs. Payment for these orders is settled once the task is completed.
- w) **Bidders List:** The list of suppliers and contractors.
- x) **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 requester and verified by Office of Procurement thereof.
- y) **Bid Bond:** A bank guarantee submitted along with the price quotations to assure serious participation in the tender.
- z) **Advance Payment Bond:** A bank guarantee offered by suppliers if an advance payment is requested before supplying material or starting the execution of works.

- aa) **Performance Bond:** Is a bank guarantee that is provided by the contractor to ensure the good performance of the contract and its implementation in accordance with its terms and conditions.
- bb) **Auction:** A method of selling or letting fixed assets, equipment, damaged or depreciated material and other similar items by means of bids submitted in sealed envelopes or public offers made in an auction.
- cc) **Store:** The place designated for keeping the items classified as "stock items" and "disposal items". A main central store may be established along with other minor stores, if needed, which are supplied from the main store. Minor stores, though, may receive purchased material directly. However, all purchases shall be carried out by the authorized bodies and in accordance with applicable regulations.
- dd) **Storekeeper:** The officer who manages and supervises the stores or the administrative unit in charge. The main responsibilities include organizing the items cycle regarding receipt, inspection, stocking, issuing, returning and relocating. The Storekeeper shall carry out the activities of this cycle and control it.
- ee) **Stock Items:** Items which are classified as "stock items" as per the provisions of this policy are kept in stores until the need arise for them in the future. Stock items are purchased upon the request of the storekeeper as per the applicable procedures.
- ff) **Disposal Items:** These are the equipment, damaged or depreciated material which are identified for sale in an auction or any other method following the approval of the inspection committee.
- gg) **Non-Stock Items:** All items that are not classified as "Stock Items". Their value is not included in the stores accounts books. They are received from the supplier by the stores' staff and delivered to the requisitioning unit at the University.
- hh) **Store's Inventory:** The quantity and value of all of the material kept in stock. The inventory increases in quantity and value as a result of stock items purchases, returned items or items relocated from other stores. 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 stores.

Statement

This policy covers all the activities of the Office of Procurement, defines its role and related committees, and guides the process of developing and formulating the rules and regulations that govern all aspects of the procurement processes at the University. It sets the framework according to which procurement processes are conducted with a view to thresholds, which specify how different levels of expenditures are to be treated, and must be adhered to. The disaggregation of similar requirements, for the sole purpose of avoiding a higher purchase threshold, is not permitted.

The overall objective of the University's procurement activity is to obtain the best value for money in the area that it covers, while considering the social and environmental factors. This is to be achieved by obtaining the goods, services and works required in support of delivering the AU strategic objectives with the appropriate quality and at the most economically advantageous terms reasonably available to the University. This policy aims to help achieve broad goals and to comply with them is therefore crucial.

Deans, directors, managers and unit heads are required to familiarize themselves with the policy and procedures, and adhere to them. This policy and its procedures must be read and acted upon in conjunction with the University's financial regulations.

Procedures

- a. The provisions of this policy shall apply to all purchases made by the University's colleges and its various administrative offices. None of these entities shall be exempted from the application of the provisions of this policy.
- b. This policy covers contracts, methods and procedures applicable to purchases, receipt of material, service contracts and work execution contracts whatever they might be.
- c. The provisions of this policy shall not apply to the following:
 1. The overhead expenses which are a form of expenditure that do not have a standard technical description (a scope of work). For example, the cost of water, electricity, telephone lines, newspapers' and general magazines' subscriptions, advertisements, subscriptions with professional and non-professional entities; conferences and exhibition subscription fees, academic accreditation expenses, petty cash expenses, purchase of air tickets, hotel reservations and rental of buildings as well as other similar general administrative costs which are not subject to standard specifications and where the prices are fixed and there's no room for negotiation.
 2. Consultancy services, which are usually not standard in nature due to reliance on the reputation, knowledge, expertise and professional profile of the consultant, whether a company or an individual.
 3. Contracts and agreements between the University and government bodies.
 4. Any contracts and agreements between the University and any other body that does not require payment to procure services or goods.
- d. The following provisions shall apply to insurance contracts:
 1. The insurance contracts for the University's assets against fire, damage, theft and other risks shall be subject to the provisions of this policy.
 2. 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 the University shall comply with the contractual terms and conditions which are consistent with the provisions of this policy.

Financial Terms

A. Allocated Budget

The following rules shall be observed:

1. No contracts shall be concluded to procure material, services or projects unless they have approved funds specifically allocated to them as part of the University's annual approved budget. In 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 subsequent fiscal year's budget.
2. Should the value of the required works exceed the funds allocated for a college or an office, the matter shall be referred to the Office of Budget and Planning to find the appropriate solution or conduct necessary reallocation of funds between budget line items in accordance with applicable policies and procedures

B. Approval Authority Limit for Purchase Orders and Purchase Requests

1. The Procurement Committee shall look into orders above AED 100,000 through committee meeting followed by recommendations concluded in minutes of meeting signed by the committee members.
2. The signed minutes of meeting shall be then approved by the Chief Operating Officer (COO).

Purchase orders, contracts or agreements shall be authorized as per the following:

Table 5 Purchase Approval Matrix

Amount (in AED)		Approval Level
From	To	
1,000,000	No upper ceiling	Procurement Committee, COO and the Chancellor
100,000	999,999	Procurement Committee and the COO
1,000	99,999	Procurement Manager

C. Forms of Contracts and Orders

1. Any exemptions from the approved standard contractual terms and conditions shall only be made with the approval of the Office of Procurement in coordination with the legal advisor related to the legal parts of the contract, and that shall be at the most minimal level.
2. 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.
3. 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.
4. In coordination with the requisitioner, the Office of Procurement shall select the appropriate service contract form taking the following into account:
 - a. Realistic estimation of the contract value and its term
 - b. Competitiveness
 - c. Performance risks
 - d. Level of complexity of the required works
 - e. Adequacy and completeness of the listed specifications and the scope of work
 - f. Possibility of variations
 - g. Past experience
 - h. Urgent and pressing requirements

D. Framework Agreement

1. The Office of Procurement is the authorized level to identify the commodities and services for which an agreement is to be issued.
2. Suppliers who are qualified to enter into agreements using any appropriate purchase method shall be selected.
3. Agreements shall consider suppliers who meet and promote ethical trading standards and environmental impact in its supply chain.
4. Agreements shall be issued in accordance with the Office of Procurement needs and they shall be subject to review (amendment, renewal or revocation).
5. Agreements concluded with suppliers shall include specifications of material and services, unit price, date and duration of delivery and execution.

6. All units of the University shall purchase goods and services as per the agreements as long as such agreements are still in force. Approval from the Office of Procurement shall be obtained in case purchases are made outside the framework of the agreements.
7. Agreements shall be signed by the University's Procurement Manager, Legal Advisor (If needed) and the Chief Operating Officer; this shall be done following the final approval of the appropriate authorized level as provided for in the delegation of authority guidelines.

Office of Procurements Role

A. Office of Procurement Duties

1. The Office of Procurement shall secure the continuous availability of material, products, fixed assets and different services needed by various units of the University. The task shall be done in a way that guarantees performing the daily operations of these units smoothly. That shall be achieved through commitment to observe the following when concluding a contract or making a purchase:
 - a. Securing the best prices, payment terms, timely delivery and other facilities and conditions.
 - b. Quality standards and required specifications to be approved by the requesting unit.
 - c. Selecting appropriate and trusted sources.
 - d. Adopting practices that contribute to the growth of local economy, reduce the waste and optimize the usage of resources.
2. The Office of Procurement shall execute the purchase orders of material and services with value ranges between AED 1,000 (one thousand) and AED 99,999 (ninety-nine thousand, nine hundred ninety-nine) by looking into at least three price offers, where possible.
3. The Office of Procurement may also execute purchases through direct orders within a limit of AED 99,999 (ninety-nine thousand, nine hundred ninety-nine) whenever this is reasonably justified.
4. As for purchase orders with values that exceed AED 99,999 (ninety-nine thousand, nine hundred ninety-nine), the Office of Procurement shall raise the issue in a note addressed to the Procurement Committee.

B. Office of Procurement Responsibilities

1. Collecting and maintaining information on suppliers, goods and services, suggesting the required standard specifications of the purchased goods as defined by the requester, issuing purchase orders and signing long-term and short-term contracts with suppliers.
2. Ensuring that the procurement transactions and the tendering invitation documents are compliant with the standards of quality.
3. Evaluate the quotations financially in terms of prices, payment terms, conditions of purchase and delivery.
4. Proposing the inclusion of new goods or agencies.
5. Revising and improving purchase methods.
6. Negotiating with contractors and suppliers to secure the best possible terms.
7. Ensuring the compliance of material and services with the specifications 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 material 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 of different specifications.
8. Establishing strategic relationships with suppliers dealing with the University.
9. Consolidate the annual procurement plan and identify the appropriate purchase sources on the basis of the procurement plan which is integrated into the approved budget of the requisitioning unit.
10. Following up the implementation of the annual procurement plan and revising it when necessary.

11. Using the best practices and procurement methods to guarantee that appropriate prices of goods and services are provided to the University
12. Establishing contacts with suppliers and inviting quotations from them.
13. Submitting periodical reports to the Chief Operating Officer on the executed works.
14. Maintaining and updating the suppliers and contractors register.
15. Determining the monetary value of bid bonds.
16. Determining the monetary value of tender documents.
17. Approval of repayments for documents of cancelled tenders as per circumstances.
18. Regarding contracts related to the supply of continuously needed material, steps to renew existing contracts or concluding replacement contracts shall start well before the expiry of the running contracts in order to ensure the timely availability of the required material.

Business Ethics

- a. The Office of Procurement shall execute contracts with the utmost degree of commitment to business ethics and transparency and in an atmosphere characterized by high professional integrity and spirit of fair competition.
- b. Splitting of purchases, works and services with the intention of overriding the applicable rules and procedures provided for in this policy is strictly prohibited.
- c. Full transparency with and equal treatment of all suppliers and negotiating with them in a professional manner shall be guaranteed.
- d. Under no circumstances shall the prices offered by any supplier be revealed to another supplier.
- e. In cases of renegotiation with a supplier on their offered prices, all other suppliers shall be granted equal opportunities of negotiation by requesting their best and final offer.
- f. It is strictly prohibited to award procurement and service contracts to a party with the aim of achieving personal interests for the University's official in charge; or in situations in which that official is offered rewards, gifts or any form of favoritism from a supplier or contractor with the aim of securing a contract or enjoying a special treatment.
- g. The Office of Procurement personnel shall abide by all policies and procedures, commit themselves 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 Office of Procurement personnel shall particularly refrain from the following:
 1. Having a personal interest directly or through an intermediary in works or contracts linked to the University's business.
 2. Engaging in any professional work or commercial business activity related to the University's 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.
 3. Offering preferential treatment to any person, group or establishment or acting in whatever manner that may undermine the public's trust in the University.
- h. In cases of violations or suspicious practices, suppliers and contractors dealing with the University may submit complaints and grievances to the Chief Operating Officer (COO) or a deputy as applicable by the COO. Suppliers and contractors may also file grievances against the Office of Procurement's decision on the award of bids or any perceived lack of fair competition requirements or any other form of prohibited practices, provided that the grievances are genuine and reasonably supported by evidences.
- i. Every staff member of the Office of Procurement is under an obligation to safeguard the documents under their custody. The staff members shall be held accountable for safeguarding the information contained therein and shall not disclose such information to or share them with any other unauthorized parties or individuals except under certain rules and procedures applicable at the University.

Suppliers and Contractors

A. Register of Suppliers and Contractors

The following rules shall be observed:

1. The Office of Procurement shall maintain an updated register for the prequalified suppliers and contractors to engage them in all types of services and material contracts.
2. The Office of Procurement shall set pre-qualification and registration standards for suppliers and contractors, depending on the nature of the business.
3. The Office of Procurement shall deal with reputable suppliers who meet and promote ethical trading standards and behavior throughout its supply chain.
4. 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-related information.
5. The Office of Procurement shall finalize the process of registering suppliers and contractors, including the screening of electronic registration applications and supporting documents. 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.
6. 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, whether a company or an establishment or a corporation, etc.
7. Companies and establishments willing to register shall complete a registration application form specially designed to that end and submit it to the Office of Procurement. The Office shall then scrutinize the licenses and certificates submitted by the applicant to ensure that they meet the conditions and legal requirements.

B. Pre-qualifying Suppliers and Contractors

1. The Office of Procurement 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, technical and sustainability 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, whether from the Economic Development Department, the Chamber of Commerce and Industry or any other regulatory bodies. All documents shall be valid upon registration with the University.
 - b. The financial aspects shall include a sound financial standing which could be verified by a certificate of financial ability from a bank.
 - c. The technical aspects shall include the availability of highly skilled workers, appropriate and sufficient equipment, workshops and stores.
 - d. The sustainability aspects shall include the corporate social responsibility statements.

- e. The track-record aspect could be established by looking at a statement listing successful awards 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.

C. Procurement Committee

The Committee shall be formed under a decision made by the Chief Operating Officer or a person authorized by the COO. The number of committee members shall not be less than five, including the chair and the deputy. The Committee shall look into bids, tenders and contracts and shall exercise its duties and responsibilities in accordance with the provisions of this policy. The committee's secretary/ rapporteur shall be a non-member.

D. Procurement Committee's Meetings

1. 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 chair or deputy-chair. The committee's recommendations shall be taken by majority votes. If the votes are equal, the chair 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.
2. The meetings shall be held upon request, with the Committee's chair determining their schedules. Members of the committee and concerned units shall be notified of the dates of meetings.
3. The Committee may hold emergency meetings if required.
4. After the meeting, the secretary of the committee shall write the minutes which will be presented to the members of the committee to be signed by them.
5. The minutes of meetings shall be deemed final following the endorsement of the Chief Operating Officer or the assigned delegate.

E. Duties of Procurement Committee

1. Looking into purchase requests raised by Office of Procurement 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 colleges and administrative units.
 - 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.
 - e. Opening the envelopes of tenders and bids and registering the names of suppliers and their offers
2. Reviewing and evaluating the complaints filed by suppliers and contractors and recommend regarding the incurred penalties and compensations, as well as the full or partial relief of delay penalties.

F. Mechanism of Submitting Purchase Requests to Procurement Committee

1. The Office of Procurement shall receive the material and service purchase requests from various units through the electronic purchasing system.
2. The requests shall include all information needed to carry out the purchase processes.
3. The requests whose values fall outside the authority limit of the Procurement Manager (as per table 1 on the approval authority limits) shall be referred to the Procurement Committee for action.
4. The Office of Procurement 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.
5. The Office of Procurement shall determine the purchase and contracting method.
6. The Office of Procurement shall carry out the purchase by issuing a purchase order or preparing a contract after the final approval of the Procurement Committee and the COO.

Types of Purchases

A. Purchases of operating fixtures and spare parts:

These are the material and items purchased to operate appliances, science laboratories and office equipment, as well as the material needed for carrying out office and other activities.

B. 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.

C. Services Purchases:

These are the services which the University obtains from outsources. They include Insurance, maintenance, cleaning, support contracts, administrative and office services.

Procurement Procedures

A. Completing a Material Requisition Form:

The requisitioning unit shall complete a material or service requisition form through the University's electronic system. This is done by entering all the necessary particulars required for executing the purchase process accurately, easily and quickly. The required quantity of material and goods shall also be specified along with the delivery time and estimated value of these material and goods. Assistance may be sought from the Office of Procurement to specify the estimated value of the required material and goods and to advise on any other adjustments that might help in determining the purchase method but without recourse to split the purchase.

B. Reserving the Estimated Value from the Budget

Funds shall be available to purchase the material through the University's Office of Budget. If funds are available for the requested purchase, the requisitioning unit in coordination with the Office of Budget shall arrange for releasing the necessary funds for executing the purchase process. Requests made during the closure period of the electronic request system announced by the Office of Procurement by end of fiscal year shall not be accepted.

C. Material Requisition Approval

The material requisition shall be approved by the Dean of the College or the director/ manager of the relevant office and that shall be in accordance with the applicable delegation of authority guidelines.

Determining Procurement Methods and Inviting Quotations

After receiving and reviewing the material requisition or a contract request and ensuring that the material, goods and specifications are well-defined, the procurement and contracting method shall be determined as per the provisions of this policy. These methods include public and restricted tenders, practice purchase and purchase through a direct order.

A. Public Tender

1. Public (local or international) tender contracts shall be concluded for transactions exceeding AED 5,000,000 (Five Million 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: publishing the tender notice, evaluating the bids, concluding a contract with a supplier and delivering the purchased goods or executing the works mentioned in the tender.
4. The public tender may either be international or local, depending on a decision made by the Office of Procurement.
5. 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 publications.
6. 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 is advertised within the country only.
7. The tender may be restricted instead of being public. Such a decision shall be made by Office of Procurement by considering the nature of the requested material, services or projects.
8. In case of international tenders, it is generally preferable for the prices to be presented on a standard basis, e.g. F.O.B or C&F or C.I.F. - a measure to be determined by the Office of Procurement.

B. Restricted Tender

1. The restricted tender (local or international) is a tender in which the invitation is addressed to a limited number of registered suppliers and contractors who shall be selected by the Office of Procurement with an order value above 1 Million Dirhams up to 5 Million Dirhams.
2. The restricted tender is conducted among a selected number of businesses engaged in the activity related to the tender subject matter and are registered in the Register of Suppliers and Contractors.
3. The number of selected tenderers shall not be less than three.
4. This 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.
5. This includes suppliers of specialized equipment which can only be obtained through a limited number of suppliers worldwide, including but not limited to electronics and special types of chemicals.
6. 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.

C. Practice Purchase

1. This method refers to processing purchases by selecting a group of suppliers and contractors who are approved for supplying material and services whose value does not exceed the amount of AED **99,999** (Ninety-nine thousand, nine hundred ninety-nine).
2. The selection of such group of suppliers should depend mainly on the experience of the Office of Procurement accumulated throughout previous experiences of dealing with suppliers and contractors, reputation and commitment of suppliers, knowledge in the market and the professional relationship with different suppliers. The following cases are also subject to this method of purchase:
 - a. 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.
 - b. 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.
 - c. When the cost of tenders is not appropriate in comparison with the estimated value of the goods, contracts and services.
 - d. When the Office of Procurement decides that it is not in the interest of the University to procure items through a public tender.
 - e. The goods which are only available through a specific trader or agent.
 - f. The goods with very sophisticated specifications which makes it difficult to identify.
 - g. The goods or works required are time-sensitive and cannot wait until tender procedures are carried out.
 - h. If the situation involves the supply of material or performance of works or delivery of services in place of a defaulted or slow-moving contractor or in the cases of contract termination.
 - i. Purchase of property and agreements regarding insurance, shipment and customs clearance contracts shall apply this method.

D. Direct Order

Purchase under direct order refers to conducting a purchase process by directly approaching a supplier, negotiating the commercial terms, and concluding a contract with the selected supplier without a need for contacting other suppliers. This method is used in the purchase of material and services whose value does not exceed the amount of AED 99,999 (ninety-nine thousand, nine hundred ninety-nine) shown in the authority limit of approval table which the Office of Procurement is authorized to endorse. When using this method, the Office of Procurement shall secure the best prices.

The following items are also subject to the same purchasing method:

1. Items that are produced or supplied by only one supplier, or the services that are 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.
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.
9. Items or services provided by vendors in which the University has agreement with.

E. Urgent Purchase (Emergency Purchases)

The purchase of material or services for an urgent need if failure to make them available immediately would result in a significant harm. The term “emergency” refers to the need to provide the required items within a timeframe that is extremely shorter than the normal procurement cycle of such items.

While the University encourages all units to plan their purchase requirements well in advance to avoid urgent purchases, still some extraordinary situations can justify following this practice to avoid negative impact on operating activities. In this case, urgent purchase shall be approved as follows:

1. The requesting 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.
2. The college or unit in question shall fill a waiver form signed by the director, manager or the dean and get it approved by the concerned Cabinet member, with a clear justification for the urgent purchase provided.

The procurement method is determined based on the values below:

Procurement Method	Amount (AED)	
	From	To
Public Tender	5,000,001	Above
Restricted Tender	1,000,000	5,000,000
Practice Purchase OR Restricted Tender*	100,000	999,999
Direct Order OR Practice Purchase*	1,001	99,999
* Method depends on Office of Procurement experience and type of procured items		

The Office of Procurement shall fully prepare the tender documents and set the conditions for participating in it after receiving the final scope of work and drawings from the requesting unit, and then prepare advertisement of the tender (if public). These shall include:

A. Tender Preparation:

1. The full technical specifications of the item or items to be supplied together with the designs, technical drawings and sketches related to construction works, as well as the type of the required service and an accurate description.
2. Samples, catalogs or sketches shall be submitted, 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.



3. Detailed tables showing the required quantity of each of the tendered goods.
4. The date set for opening the tender envelopes; so that the suppliers and contractors (participating in the tender) can have enough time to study and submit their bids.
5. The tender validity period, which shall be specified taking into consideration the market circumstances.
6. Payment conditions and guarantees for delivery, construction and provision of services.
7. Indicating that the supplier or contractor should guarantee the fitness of the delivered material, equipment, machinery or the execution of construction works during the required period.
8. Mentioning 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.
9. The public tender notice shall be published at least twice in a widely-read daily newspaper or relevant online channels. The tender notice may appear on one or more foreign newspapers and via other available means.
10. The Office of Finance shall receive the monetary value of the tender pricing documents directly from the tender participants under a note issued by the Office of Procurement, 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 Office of Finance.
11. Tender documents shall be handed out to the participants by the Office of Procurement.
12. The Office of Procurement may extend the tender validity period on a case-by-case basis.
13. The decision on the award of the tender shall be taken and the winner shall be notified before the end of the tender validity period.

B. Bid Bond

A bid bond shall be secured for all tenders whose value is in excess of AED 5,000,000 (five million dirhams). The value of the bond shall be determined by the Office of Procurement 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.

C. Receipt of Bids

1. Tender bids shall be submitted in two separate envelopes; one for the technical bid and the other for the financial.
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 undividable contracts pertaining to works, services and supplies, 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 services and execution of works shall be done accordingly.
10. The tender participants may submit more than one bid. However, they 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 which 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.

D. 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 clarify any ambiguity or correct errors in the tender documents, the tender shall be amended and all bidders be notified thereof.
2. Amendments 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 Office of Procurement.
3. It is strictly prohibited to make any amendments to the tender package after the tender envelopes are opened.

E. Cancellation of Tender

1. With the approval of the Office of Procurement 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 material 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 which 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.

F. 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 Office of Procurement with a technical report.
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 ensuring 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, financial feasibility and social/ environmental sustainability.
4. The best offer may be selected even though it is not of a lesser price, provided that convincing arguments are put forward thereto.
5. If the prices of two bids or more are equal, the Procurement Committee upon a recommendation from the Office of Procurement 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 as long as such split will not harm the business interests.
6. The Office of Procurement shall notify the successful bidder of the award in the form of Purchase Order within a maximum period of one week from the date of the Procurement Committee's and the Chief Operating Officer's approval on the minutes of meeting. The successful bidder shall be asked to submit a performance bond and sign the contract.
7. Should the successful bidder fail to sign the contract without any acceptable excuse, the bidder shall be deemed as having withdrawn the bid. And consequently, the bid bond shall be seized and the University shall also have the right to seize all or some of the bidder's receivables in addition to reserving the right to demand compensation for incurred losses.

G. 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 exceeds AED 5,000,000 (five million dirhams).
2. The value of the bond shall be determined by the Office of Procurement. 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.
3. The supplier may be relieved of submitting a performance bond letter for purchase orders or contracts whose value is less than AED 5,000,000 (five 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 Office of Procurement can hold 5% of the order value 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 material has already been delivered and the contracted work has 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 Office of Procurement to that effect.
4. The performance bond shall be valid throughout the contract period, in addition to a required three more months of validity of the bond.
5. A contractor with the University from any government departments, public establishments and corporations or other government bodies shall be fully relieved from submitting a performance bond and shall also be relieved of advance payment bond for any advance amounts paid by the University to the contractor.
6. If the successful bidder fails to submit the value of the performance bond within 30 days as of the date of notifying the bidder of acceptance or from the effective date of the contract, the University may:
 - a. Seize the bid bond

- b. Blacklist the bidder and remove the bidder's name from the University's Register of Suppliers and Contractors and suspend any dealings with the bidder for one year as of the date of the award decision.
 - c. The Office of Finance shall be notified.
- 7. The original documents of the bonds shall be kept with the Office of Finance who are responsible for their renewal if needed. 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 Office of Procurement for material contracts and purchase orders.
 - b. Approval of the Office of Facilities and Services or equivalent for works related contracts.

Contracts

A. Drafting and Signing of the Contract

1. The Office of Procurement 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 Chief Operating Officer after the final approval of the relevant authorized level 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 Office of Procurement shall issue two original copies of each services or material supply contract, with one copy kept by the Office of Procurement and the other sent to the supplier or contractor. A photocopy of it shall be forwarded to the Office of Finance and the end user unit at the University.
5. The Office of Procurement can issue a purchase order before or after signing of the contract by the contracting parties. The purchase order shall be signed by the Office of Procurement in accordance with the delegation of authority matrix.

B. Contract Administrator

1. The end user unit shall nominate one of its employees to administer each service contract related to the unit.
2. The appointment shall be affected under a note submitted to the Office of Procurement.
3. 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.

C. 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 contract, considering 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, which should be in accordance with the authority delegation manual and the policy therein.
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 duration is given in days.
7. Carrying out all procedures linked to the University's fulfillment of its obligations in order 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.

D. 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 fails to arrive at the site to take it over on the specified date, a report shall be written and a copy shall be sent to the Contractor. The date shall be noted therein and a copy of the same shall be forwarded to the contractor. The mentioned date shall be considered as the contract's commencement date.

E. Termination of the Contract

1. The Contractor shall perform the contract in accordance with its terms and conditions, otherwise, the contractor shall be subject to the penalties provided for in the contract and in this policy.
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, and reserve 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. Should the contractor submit 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 reviewed and the issue to be left to the discretion of the Contract Administrator.

F. 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 matrix.

G. 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 guarantee. Such matter, however, shall be within a minimal limit.

H. Contract Performance Delay

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 material and works or material 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 grace period if the same is deemed in the best interest of the University. However, this shall be subject to the approval of the Procurement Committee.
- b. Purchasing the material or performing the works at the expense of the supplier or contractor. In this case the supplier or contractor shall bear the burden of any price increase or incurred administrative expenses at a rate of 10% of the value of the material 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.

I. Penalty for Delay

1. 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.
2. The Office of Procurement may upon request from the contractor to relieve the contractor of the delay penalty if supporting documents have proved that the delay was a result of force majeure beyond the contractor'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 incident leading to the delay and shall include a justification of the reasons causing the delay.

J. Provisional and Final Receipt of Works (Projects)

Goods received will be verified against the delivery note and purchase order in terms of quality, technical specifications and quantity. For items of a technical nature, the user unit will certify the specifications that include quality and acceptable conditions. A goods receipt note will be completed to acknowledge receipt. For services, verification will be made with the beneficiary unit to confirm that services have been provided as per the contract. Where practical, the beneficiary unit will confirm in writing, and where necessary, provide agreed written deliverables as per the contract (issue completion certificates).

K. Electronic Purchase Methods

Electronic purchases are subject to the same rules and procedures provided for herein, with the following matters being observed:

1. All tenders and direct orders transactions shall be conducted electronically through the University's portal, unless the same is not possible for technical reasons related to the unavailability of appropriate information technology systems.
2. Public tenders' notices can be made on paper-based media outlets such as newspapers and magazines or advertised via electronic means.

Stocks

A. Stock Items

1. Material shall be classified as stock items at the discretion of the Office of Procurement.
2. The "stock items" shall be entered in the registers of stores 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.

B. Non-Stock Items

1. Non-Stock items shall not be added to the custody of stores 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.

C. Disposal Items

1. Disposal items shall be kept in a separate place in the stores until they are disposed of. Meanwhile, they shall be under the supervision of storekeepers.
2. Disposal items shall be recorded in special registers independent from other store's inventory and other accounting records.

D. Material Coding

The Office of Procurement shall set up a central coding system for all stock purchases.

E. Stocking Policies and Provisions

1. The Office of Finance shall keep accounting books to monitor the value of stock.
2. The store 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 store's records.

F. Inspection Committee

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" after completing the procedures of writing off the fixed assets from the account's books.

1. 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 - whether 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 Office of Procurement for guidance.
2. The committee shall undertake the role of inspecting fixed assets and depreciated equipment, evaluating their condition, making recommendations regarding their sale or otherwise or proposing methods of selling them either through an auction or sealed envelopes offers or other means of disposal determined by the committee.
3. The committee shall validate 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.
4. Price of submitted bids and recommended action shall be notified to the Office of Procurement and reflected in a report signed by the committee members.
5. The committee should make sure that any disposal procedure is in line with best practices, social responsibility and environmental laws and regulations.

G. Auction

1. The bid shall include the information and specifications of the disposal items offered for sale or rent.
2. The bid shall be sent to the list of eligible suppliers registered.
3. All offers to be received in sealed envelopes to the Office of Procurement.
4. The bid with the highest value to be selected.

H. Storekeepers and their Duties

1. A storekeeper for each store shall be appointed as per the University's organizational structure. A storekeeper may have one or more assistants who may take the storekeeper's place in case of 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 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 manager so that s/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.

I. Rarely Needed, Stagnant and Surplus Items

The items which are not requested or issued as reflected in the stores' inventory records for twenty-four 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.

J. 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 terms of quantities and specifications. Should the material inspection need special technical expertise, the storekeeper shall seek assistance from an employee with expert knowledge on the received items.
2. A receiving inspection committee can be assigned by the beneficiary unit to help in case of complicated technical aspects of the stock. The committee shall submit their report to the head of the unit to enable the issuing the final receipt acknowledgement along with any reported disputes that need to be sorted out with the supplier.
3. A receipt voucher for the actually received quantities which meet the specifications shall be issued by the storekeeper and the expert from the requesting unit.
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 and the Office of Finance shall be notified of the same in writing by the Office of Procurement.



1. Stock Items shall be issued to beneficiary colleges or offices 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, the quantity and value shall be deducted from the store's stock and accounting records.
2. The items issued but later returned to the stores shall be recorded in an electronic 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 stores' custody and their value recorded in the stores' accounting books.
3. The storekeepers shall ensure 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 material is stocked in special stores that observe their nature.

K. Comprehensive Annual Stocktaking

1. A comprehensive stocktaking of all contents of the stores shall be conducted at least once a year without prejudice to the perpetual surprise stocktaking system applicable during the year.
2. The comprehensive annual stocktaking shall be made prior to the end of the fiscal year.
3. Committees for annual stocktaking shall be set up under a decision by the Director of Finance.
4. In forming stocktaking committees, it shall be observed that the Office of Finance and the Office of Internal Audit are represented. The stocktaking shall be carried out in the presence of the storekeeper.
5. Stocktaking committees shall prepare lists of counted items showing the actual balances of items and matching them with balances on the store's 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 Office of Finance for that purpose.
7. A copy of the stocktaking lists shall be forwarded to the Office of Internal Audit for their opinion. In case of spotting a financial or administrative breach, the matter shall be referred to the COO to take the necessary disciplinary action against the breaches in accordance with the applicable bylaws.
8. The stores shall settle the stocktaking inconsistencies by making additions or deductions based on the decision of the COO.

L. Partial, Surprise Stocktaking

1. The Office of Internal Audit shall conduct a surprise partial stocktaking as part of the perpetual stocktaking program during the year and in accordance to the annual internal audit plan.
2. In case of finding a shortage or a surplus, the Office of Internal Audit shall investigate the reason behind the shortage, report on these findings and recommend the action into this matter.

Effective Date

This policy shall be in effect as of September 1st, 2021.

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
V 3.0	01/09/2021	General updates, including MoE requirement on sustainability aspects in procurement practices	Procurement Manager

Budget Policy

Policy Owner	Office of Budget & Planning Manager	Responsible Office	Office of Budget & Planning
Approved By	Chancellor	Effective Date	Dec. 2020
		Next Review Date	Dec. 2023

Purpose

This policy is established to provide guidelines pertaining to the allocation of budget, as well as the preparation and management of operating and capital budgets.

Scope

This policy applies to all of AU colleges/department and offices.

Definitions

The University: Ajman University.

Approved Annual budget: The annual financial plan endorsed by the Board of Trustees.

Calendar Year: Twelve-month period beginning January 1st through December 31st of any given year.

Capital: purchased items costing AED 1000 or more and useful for a longer than a one-year period.

Funds: External Deposits appearing in separate accounting records

Budget Committee: The Committee established by AU's top management to oversee the preparation cycle of the annual budget, discuss the operating plans and approve any relevant amendments throughout the academic year.

Office of Budget & Planning: The administrative entity responsible for the compilation, classification, review of annual budget-related data, and implementation of the annual budget.

Budget Forms: The electronic forms required to gather all the information needed to prepare the annual budget, and to submit the spending requests from the approved budget during implementation.

Supplementary Budget: Detailed lists of any additional academic or administrative expenses added as a supplement after getting the budget approved by the BOT and as deemed necessary during implementation.

Policy Statement

This policy provides guidelines for AU budgetary processes. It delineates the roles of University Budget Committee and the Office of Budget and Planning. This policy aims at formulating a budget that facilitates the implementation of the strategic goals of AU, maintaining an annual balanced and transparent budget, and ensuring that the spending on different operating activities is within the available budget funds.

University Budget Committee (UBC)

The University Budget Committee is chaired by an academic or admin member as nominated by the Chief Operating Officer, and consists of representatives from the Offices of Institutional Planning & Effectiveness; Finance; Budget; Human Resources; Procurement and a rapporteur. UBC reports directly to the Chief Operating Officer.

Responsibilities of UBC

- Reviewing the annual business plans of all AU units.
- Validating individual budget estimates of all AU units.
- Suggesting modifications in accordance with AU Strategic priorities.
- Approving the annual budgets of AU units.
- Suggesting corrective actions to improve efficiency and achieve the set goals.
- Raising relevant budgetary recommendations to the Chief Operating Officer.

Office of Budget and Planning

The Office of Budget and Planning is the AU's authorized level that oversees and controls the revenues and expenditures according to the approved budget, and provides recommendations on budgetary amendments and revisions throughout the fiscal year.

Responsibilities of the Office of Budget and Planning

- Preparing budget documents for use in monitoring and controlling the ongoing operations of the University so that revenues and expenditures remain within the approved appropriations and the spending policies and procedures of AU.
- Reviewing the historical trends and analyzing performance reports to recommend the relevant spending levels.
- Preparation and analysis of performance reports related to budget implementation.
- Promoting fiscal responsibility within AU Community by providing technical assistance and analysis in planning, administering and monitoring the budget process.
- Processing of all personnel related requirements in conformity with the approved Manpower budget and position allocations.
- Providing quarterly reports to outline actual performance against budget to the Chief Operation Officer for review and relevant directions.

AU Budget Model and System

The annual budget involves inputs from key constituencies including the top management, office managers, college deans, multifunctional budget committee, and is finally approved by the Board of Trustees. The annual budget facilitates the achievement of short and long-term plans, and all estimates shall be based on clear and relevant assumptions that reflect both internal and external factors.

Budget Model

To ensure effectiveness of the budget formulation process, AU adopts the Zero-based Budgeting Model, wherein at the beginning of every budget planning period, the previous year's budget for each unit is cleared. Every part of the institution must re-request funding levels, and all spending must be re-justified. This allows a clear view of every single activity and spending needs to ensure transparency and compliance with the strategic priorities of AU.

Budget Flexibility

AU's budget is flexible; enabling adjustments in the approved budgets according to changes in internal or external circumstances, so that the spending needs are continuously re-prioritized to better respond to such dynamic environment.

Budget Preparation Cycle (December-May)

Timeframe

The annual budget for an academic year is prepared during the year that precedes it according to the timeframe as displayed below:

Time	Activity
December	Budget preparation forms are sent to all colleges and offices. Initial faculty recruitment budget to be submitted by college deans.
January	Colleges and Offices submit the annual business plans and draft budgets.
February	Meetings are held individually with college deans and office managers to discuss their business plans and draft budgets.
March	The Budget Committee approves the final budgetary amendments. The committee submits AU's combined budget to the Chief Operation Officer.
April	The consolidated annual budget proposal is presented to Chancellor's Cabinet for final review and approval.
May	The consolidated annual budget proposal is submitted to the Board of Trustees for endorsement.

Initial Budget Proposal

An initial budget plan shall include revenue and expenditure estimates developed by the college or office for the fall, spring and summer semesters and includes the following categories:

- Operational Revenue Budget.
- Faculty Members Budget.
- Administrative Staffing Budget.
- Other Operational Expenditure Budget.
- Capital Expenditure Budget.
- Other Operational Revenue Budget.

Contingency Reserve/ Funds

AU maintains a separate contingency fund to cover the costs of compensating and/or transferring students to other learning providers should licensure be terminated or the institution, for whatever reason, ceases to operate.

- The contingency fund can be created to (a) manage income and expenses for a specific activity outside normal operating budget or (b) to cover unbudgeted events or to fund strategic one-time investment.
- The contingency reserve can be used to fund resolving temporary problems resulting from unexpected circumstances or events, but not structural financial issues.

Differential Tuition and Fees

Ajman University currently has differential tuition and fee rates for academic programs in the following colleges:

- College of Business Administration
- College of Dentistry



- College of Humanities and Sciences
- College of Engineering and Information Technology
- College of Architecture, Art and Design
- College of Law
- College of Mass Communication
- College of Pharmacy and Health Sciences
- College of Medicine

The revenue budget should reflect such differential sources in accordance with the existing and planned changes to the fee structure.

Practicality of Budget Estimates

All revenue and expense estimates shall be based on clear assumptions that reflect a systematic methodology of estimation of the major/ leading accounts. However, for some immaterial or incidental revenue or expense accounts, it is impractical to have such a systematic methodology of estimation, which might involve so many unknown factors; therefore, such accounts can be estimated based on the historical trends as percentages from the leading key accounts. This includes some items like other operating revenues, forms, training, exemptions, medical insurance, education or air ticket allowances and so forth.

Procedures

Budget Coordinators

Every college/office assigns a budget coordinator to handle preparation, approval, implementation, or other budgetary related enquiries.

Budget Request Processing

- Specific budget request forms authorized by deans or managers are submitted to the Office of Budget and Planning.
- The Office of Budget and Planning reviews these requests, checks for the availability of requested items and sufficient budget funds.
- The Office of Budget and Planning approves the request and forwards it to the appropriate office for execution.

Control over Expenditures

- The ultimate responsibility of approving and controlling expenditures rests with the office of budget and planning.
- AU operates in accordance with the set policies and procedures to ensure the full control over purchasing and manpower management.

Fund Transfer

- In case where financial allocations are insufficient to cover requested expenses, the respective unit can send a request to the Office of Budget and Planning for transfer between different budget line items within the approved annual budget, while clarifying the motives for such a transfer,
- Transfers can only occur within the same categories in terms of financial classification, such as operational, capital or manpower related expenses; avoiding any overlap between such categories, unless otherwise decided by the COO.
- The total value of transfer requests among expenditure items shall not exceed 25% of the total approved expense allocations.
- In certain justifiable situations, budget funds can be transferred between different units (i.e. colleges, offices), provided that it is approved by the COO.

Budget Addition Requests

- Unless there is an ability to transfer between the budget line items of a specific unit as approved in the annual budget, the concerned college or office can submit a request for additional budget allocations to the budget (using appropriate budget forms), while clearly stating the reasons for such additions.
- The request will be carefully reviewed by the Office of Budget and Planning, and a recommendation of approval is then submitted to the higher management if the request is found reasonable and implies circumstances which are out of control. The budget addition request can be approved by the Office of Budget and Planning in case the requested expenses will generate an additional revenue which is not budgeted for (i.e. event or activity).
- In case the additional expense does not result in generating additional revenue, then the request shall be approved by the Board of Trustees. Once approved, the requested additional funds shall be included in the supplementary budget and then passed to the appropriate office for execution.

Recruitment of Faculty

Review of Faculty Recruitment Requests

- Requests for recruitment of faculty members are made based on the academic ranks and types of contracts as approved in the annual budget, using specific budget forms.
- The Office of Budget and Planning compares the existing number of faculty members against the number approved in the annual budget. The request is then approved or rejected accordingly.
- Approved requests are then forwarded to the appropriate office for processing.

Exceeding Budgetary Limits

Requests for recruitment in excess of the manpower budgetary limits in the cases displayed below require the approval of the COO who would explore ways to cover these extra expenses.

- Necessity to recruit additional faculty due to unexpected increase in student intakes, thus increase in the revenue.
- Replacing a faculty or staff member with a new one having higher academic qualifications.

Faculty Transfer Requests

- Using appropriate budget forms, the colleges may request to transfer faculty members from one college to another.
- Clause (*Exceeding budgetary limit*) applies to cases of inadequate budget allocations.

Recruitment of Staff Members

Review of Administrative and Technical Staff Recruitment Requests

- Colleges/Offices fill appropriate staff Recruitment budget forms.
- The Office of Budget and Planning reviews these forms, approves the budgeted ones, and forwards them to the Office of Human Resources to proceed with the hiring process.

Staff Addition Requests

Requests for recruitment in excess of the budgetary limits require the approval of COO provided that such requests are necessary and can be covered from other budget allocations (transfers). Once approved, the request shall be incorporated in the supplementary budget forms and then passed to the Office of Human Resources for execution.

Staff Replacement Requests

Recruiting a new staff member as a replacement of a resigned or a terminated staff member requires that the allowances are not exceeded. Otherwise, Clause (*Exceeding budgetary limit*) would apply.



Transfer Requests

Transferring an administrative or a technical staff member requires filling out appropriate budget forms and obtaining the approval of the COO. Approval is subject to the availability of respective allocations in the approved budget of the College or Office requesting the transfer. Otherwise, Clause (*Exceeding budgetary limit*) would apply.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	07/05/2017	New policy outlining guidelines for allocation of budget	Budget and Planning Manager
V 1.2	30/12/2020	Amended in line with the changes implemented as per the international and local accreditation reviews.	Budget and Planning Manager

Policy on Faculty Members Participation in Planning and Budgeting

Policy Owner	Office of Budget and Planning	Responsible Office	Office of Budget and Planning
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

This policy aims at specifying the nature of faculty members' participation in University's planning and budgeting activities to ensure that the budget preparation and resource allocation processes are based on an inclusive and participatory approach, where the colleges' standalone budgets are reflecting important expectations and recommendations of all stakeholders.

Scope

Involvement of the faculty members in the annual budget preparation cycle serves as an effective tool for the University's management to explore the expectations and gather recommendations from faculty members in a structured, systematic and interactive environment relating to the required resources to improve the quality of education, whereas the top management is responsible for making informed decisions about efficient allocation of resources as well as maintaining the financial stability of the whole University. This is primarily concerned with the development of short- and long-term plans and budgets of colleges and all other units.

Policy Statement

The critical role of faculty members and their responsibility in delivering the intended learning outcomes and curriculum necessitate the participation of faculty members in the overall planning and budgeting activities at all levels. This requires that faculty members provide their expectations, requirements and recommendations on a timely basis, together with other information needed to advise the administrators on planning and budgetary matters.

Expectations

Faculty members participation reflects their active role in curriculum planning and enriching the teaching and learning experience as well as raising the University research output. Their recommendations are instrumental to ensure the sustainability of academic programs and research projects, which involves major budgetary implications. This is also important in complying to all applicable standards and requirements, as well as adopting the best practices in teaching and learning research and innovation activities. Therefore, involving faculty members in such matters demonstrates the key success factors of the overall University's resource allocation processes, reflects the teaching and learning and research priorities, motivates their commitment and improves the overall performance.

Procedure for Faculty Members Participation

The planning and budgeting processes should always drive the budget preparation cycle and achieve growth in all academic and operating aspects. This shall be demonstrated by the sufficiency of resources to support different quality improvement initiatives and projects. The faculty participation in planning and budgeting cycle works on different levels. This is explained as follows:



A. Department Level

As part of the effective governance and engagement in the college's budget planning phase, the Dean shall involve Heads of Departments (HOD's) in all planning and budgeting activities relating to their own departments; in terms of estimating the needs for additional faculty slots, planned changes to the academic programs, identifying the resources needed to support such activities, as well as the recommended changes to improve the overall quality and productivity in their departments. This stage may also include any recommended changes in tuition fee structure and faculty salary structure.

In gathering such inputs, requirements and recommendations, HODs should follow a systematic, collaborative and documented approach that ensures involving all faculty members in the department. HODs should play a leading role in the planning and budgeting activities at the department level to ensure incorporating all related requirements and recommendations of the faculty members.

Upon the preparation of the departmental budget plan, faculty members may recommend any changes needed on the academic programs, such as the tuition fees, salary structure and benefits, and any other relevant requirements or initiatives that can improve the quality, productivity, and overall performance. The recommendations shall be discussed with the HOD where faculty members have the right to vote in favor or against such recommendations. The HOD should accordingly discuss such recommendations with the dean of the College before being reflected into the budget proposal of the College.

B. College Council Level

All changes relating to tuition fees, salary structure, projects and activities that are recommended by faculty members at the department level shall be discussed in the College Council meetings. This should take into consideration student enrollment, marketing activities, research activities, planned launching of new academic programs, termination of existing programs, extra-curricular activities, key events and conferences, staffing requirements, changes in salary and benefits structure, faculty professional development activities, matters related to spaces and facilities of the college, renovation of labs, studios, clinics, equipment, furniture, and other student services in general.

Some other key factors to consider at this level shall include the outcomes of the regular assessment of academic programs, Course Learning Outcomes, Program Learning Outcomes, satisfaction surveys, feedback and suggestions gathered from students and other stakeholders, full compliance with local and international accreditation standards, and any other planned improvements in teaching and learning and research activities.

When incorporating the above requirements into the college's budget, sufficiency of resources should be also taken into consideration to ensure the financial stability of the college and all academic programs, which may lead to recommended changes in tuition fee structure.

Upon completing the discussions at the College Council level, the Dean shall endorse all requirements and recommendations, and then consolidate the annual business plan and budget proposal of the College, along with different planned initiatives and projects, and submit them to the Vice Chancellor for Academic Affairs (VCAA).

C. Vice Chancellor for Academic Affairs (VCAA)

Once the annual business plans and budget proposals of the College are endorsed by the dean, they shall be submitted to the VCAA for further review and evaluation of the key suggestions and recommendations. The VCAA shall endorse them in full or in part or may recommend other priorities. The VCAA's inputs and recommendations shall be then forwarded to the Planning and Budgeting Committee that works at the institutional level.

D. Planning and Budgeting Committee

The Planning and Budgeting Committee serves at institutional level with a main mandate to ensure efficient resource allocation process that best satisfies the strategic priorities of the University. The Committee reviews all annual operating business plans and budget proposals of colleges and offices at the University and holds meetings with all deans, directors and managers to ensure that the planned objectives, initiatives and activities are aligned with the institutional strategic plan.

The Committee is formed by the Chancellor, and shall include a faculty member from each of the three largest colleges; Dentistry, Pharmacy and Health Sciences, and Engineering and IT, with at least one of them serving as the Chair or Co-Chair of the Committee.

When reviewing the annual operating business plans and budget proposals, the Committee should take into consideration the feedback and evaluation of the VCAA. The Committee may need to conduct further discussions with the VCAA and/or the Chief Operating Officer pertaining to the key findings, suggestions and recommendations that may involve significant impact on the sufficiency of resources and the overall financial stability of the University, such as the amendment of tuition fees or salary and benefit structure. Finally, the Committee shall present the consolidated budget proposal of the University to the Cabinet along with key recommended changes for endorsement.

Major Budgetary Events

In addition to being involved in the development of the annual planning and budgeting processes, the faculty members must also be involved when the University must respond to major budgetary events that may result from significant positive or negative deviations from the annual budget. Examples of such events include unexpected shortages in funding; significant enrollment increases or decreases; and the additional resources needed during the year due to unanticipated circumstances. Whenever the University experiences such large deviations, the Chancellor will notify the colleges to participate in the development of a response plan to that deviation to ensure maintaining the financial stability of the academic programs, colleges and the whole University. Any recommended actions shall be endorsed by following the same methodology and approval levels explained in previous sections.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/04/2021	Initial Policy	Budget Manager
V 2.0	16/09/2021	To better identify the scope of participation of FM's in the planning and budgeting cycle	Chief Operating Officer
V 3.0	06/12/2021	Participation of faculty members from three largest colleges to be involved in the planning and budget committee	Budget Manager

Auxiliary Enterprise Policy

Policy Owner	Finance Manager	Responsible Office	Office of Finance
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

The goal of this policy is to ensure that auxiliary enterprises follow Ajman University's standards and regulations in order to implement the necessary control and supervision on campus.

Scope

This policy applies to all faculty and staff members, students, visitors, and all facilities, including all buildings, land, open spaces, as well as any individual, organization, or business who wishes to use campus facilities.

Definitions

- Auxiliary Enterprises:** are self-sustaining businesses or other support activities with the primary goal of providing specific services to AU's community.
- Self-Supporting** means that revenues (services fees, sales, dedicated general fees, contributions, and investment income) should cover direct and indirect operating expenses, assignable indirect costs, debt services, and capital expenditures.
- The term "Campus Community":** in this policy refers to faculty and staff members, as well as students.

Statement

This policy serves as a guideline for regulating the activities of on-campus auxiliary enterprises. The Office of University Facilities and Services is in charge of controlling, managing, and supervising all business operations on campus. Individual or group tasks involving the production, sale, distribution, and marketing of goods or services are considered business activities. This includes marketing for direct or indirect sales through the use of posters, flyers, handouts, or other promotional material.

Role of Auxiliary Enterprises

Auxiliary enterprises are run as an essential component to support the University's mission of providing high-quality products and services at the lowest possible cost.

Designated Auxiliary Enterprises

Auxiliary enterprises are defined as follows:

Building maintenance, security, cleaning, parking and transportation services, residence Halls, University catering services, printing and photocopying services.

AU Management and Responsibilities

- a. The Office of the Chief Operating Officer, Deanship of Student Services, administrative offices, and the Office of Medical Services, as applicable, will provide administrative and financial supervision to auxiliary enterprises.
- b. Ajman University guarantees that the lessee's use of the leased premises will not violate any restrictions, reservations, or laws governing the leased premises.
- c. AU will provide water and electricity services.
- d. AU is not liable for any business losses that may occur as a result of an electricity or water shortage caused by blackouts, force majeure, extreme weather, or other incidents beyond its control.

Enterprises Responsibilities

The enterprises' responsibilities are summarized in the below list:

- a. The enterprises must ensure that the leased premises and all other products served by AU are handled in a safe and sanitary manner in accordance with the rules and regulations of competent authorities.
- b. Food items must be pre-packaged or supervised by a qualified food service provider if prepared on-site. Local health codes must be followed, and sale of tobacco, alcoholic beverages, or non-halal products is prohibited.
- c. In the event of an emergency, enterprises must allow AU staff to enter the leased premises at any time during or after normal business hours. Such arrangements will not jeopardize the enterprises' use of the leased premises or operations.
- d. The enterprises should expect frequent inspections of the leased premises in order to provide repair services, replacements, or alterations as specified in the lease, as deemed necessary by the University for the improvement and safety of the leased premises.
- e. Enterprises are required to keep the leased premises in good and clean condition, as well as to remove all food waste (from floor and tables) and dispose garbage at their own expense.
- f. Enterprises must not use the leased premises for any purpose other than the agreed-upon business terms with AU.
- g. Enterprises must always have an appropriate security arrangement in place for the leased premises.
- h. Enterprises are not permitted to do anything in or outside the leased premises that may cause AU or any other person harm or annoyance.
- i. Enterprises must comply with any reasonable demand made by AU for the delivery of information, data, or other documentations related to business operations.
- j. Without the permission of AU, enterprises should not keep any hazardous substances, articles, chemicals, or anything else that may endanger human life in the leased premises.
- k. Enterprises may, on occasions, make changes, additions, and improvements to leased premises at their own expense in order to better adapt them to their businesses. However, no changes should be made without obtaining prior written approval from AU, and they should be carried out efficiently by people chosen by the enterprises and approved in writing by AU.
- l. Enterprises must pay all necessary costs for any work done or changes made to the premises that may affect the property, and they must keep all parts of it free of any lien or encumbrance.

Accidents and Damages

If the leased premises or any part of it is damaged by fire, weather, structural defects, or force majeure as defined in AU's fire insurance policy during the term of the contract, the following terms shall apply:

- a) If the leased premises are deemed partially unfit for use, the rent will be deducted for the time the enterprise was closed or suspended until it is refurbished.
- b) Notwithstanding section (a) above, if the architect of AU states, within 30 business days of the damage occurrence, that the premises cannot be repaired or restored in 60 days, either AU or the enterprise may terminate the lease in a written notice given to the other party within 15 days.
- c) If the premises can be revamped within 60 days of the occurrence of such damage, AU will proceed with the work as soon as possible. Any additional period due to delay caused by lock-outs, slow-downs, material or labor shortages, force majeure, extreme weather, or other occurrences beyond AU's control; the rent shall be deducted in accordance with section (a) above.
- d) To meet the University's standards in providing reasonable services to students, all selling prices should be submitted to AU for approval. No alterations or changes shall be permitted after both parties' acceptance of all price lists without the prior approval of AU. When a contract is re-negotiated, a price change request can be submitted to AU and will be subject to approval.

Charges for Goods and Services

The auxiliary enterprises' selling prices, rents, fees, and other charges must be set at an acceptable level to support the operating requirements.

Charges for Services Provided to Auxiliary Enterprises

- a) Auxiliary enterprises are expected to contribute to the costs of physical facilities as well as other direct chargeable support costs associated with their operation. Furthermore, enterprises must pay an appropriate share of the University's other administrative support costs.
- b) Accounts Requirements: Each auxiliary enterprise must use an accounting system appropriate to the type of enterprise it operates. Appropriate information must be available and compatible with the University's financial accounting system.
- c) During each calendar year of the contract, the enterprises shall pay to the University a total rent for the leased premises, as per the agreed upon payment terms.

Monitoring and Reporting Requirements

- a) Auxiliary enterprises should highlight any operational issues raised during the year through an annual report that must be submitted to AU.
- b) Each auxiliary enterprise shall prepare an annual plan explaining its operation for the next fiscal year, as well as an evaluation of how well the auxiliary enterprise serves the needs of its consumers.

Marketing and Advertising Policy

- a) The University's advertising policy applies to all non-university entities and/or commercial businesses wishing to place advertising material on campus.
- b) In general, commercial businesses and non-institutional entities are not permitted to advertise randomly on campus. Flyers, posters, and other marketing materials promoting commercial establishments are prohibited. This includes the distribution of non-university publications on campus.
- c) Private enterprise advertising is only permitted in approved campus publications, newspapers, or magazines.

Acceptable advertisements are classified as follows:

- 1. Advertising for sport and cultural events
- 2. Marketing materials for auxiliary service units and their products
- 3. Other University-owned official publications

Sales

The only body authorized to conduct sales activities on campus is the Office of University Facilities and Services.

Procedures for Commercially Sponsored Businesses at AU

- a) Individuals or businesses wishing to conduct business must first obtain approval from the Office of University Facilities and Services.
- b) Commercial activities will be subject to space availability and must follow the University's guidelines and policies.
- c) Upon confirmation of the availability of appropriate sales space, the Director of the Office of University Facilities and Services will grant or deny permission.
- d) An agreed upon fee payable to AU is required. This fee must be paid to the Office of Finance.
- e) It is prohibited to sell or advertise in direct competition with the University's services, activities, and operations.
- f) Vendors must bring their own table(s), chair(s), and extension cords to display their products. The University may, at its sole discretion, provide limited assistance.
- g) Except as provided in this policy, no newspapers shall be distributed or sold in campus buildings or closed areas.

Procedure for University Sponsored Activities

a) Sports:

1. The Office of University Facilities and Services reserves the right to manage all food, beverages, and other goods at all sports and cultural events held on campus. On a case-by-case basis, the office may delegate this responsibility to another office.

b) Student Unions:

1. Sales by student unions must be conducted entirely by a recognized union. It is not permitted to co-sponsor with a non-university group.
2. The student union must contact the Deanship of Student Services to request permission to sell.
3. Student unions are required to follow all student activities policies regarding sales and fundraising. Funds raised must be accounted for student union's account.

c) Academic and Administrative offices:

1. Academic offices, units, or programs may also have limited authority to conduct sales in conjunction with educational activities. Revenues and expenditures associated with them, including sponsorship of activities and the production and sale of products, must be reported to the Office of Finance.

Solicitation

Any activity by an individual or group that attempts to promote the sale or use of a product or service is considered solicitation.

- a. Campus solicitation (door-to-door or office-to-office) is prohibited.
- b. No funds, prizes, or awards shall be solicited for scholarships, loans, grants, equipment, supplies, or other purposes unless approved by Office of University Facilities and Services.
- c. Private individuals, faculty, staff and students are not permitted to solicit on campus facilities (buildings and grounds).
- d. Personal solicitation through the campus e-mail list is not permitted.

Procedures for Student Sponsored Solicitation

- a. Solicitations by students' unions are permitted, but they must be carried out entirely by a recognized one.
- b. Student unions must contact the Deanship of Student Affairs to request permission to hold a solicitation event.
- c. Student unions must follow all student activity policies regarding sales and fundraising.

Procedures for Alumni and Development

- a. The Office of Alumni must follow the same solicitation policy as any other administrative unit on campus.
- b. The University reserves the right to accept or reject any sponsorship opportunities.

General Considerations

Non-commercial materials or handouts distributed or sold on a person-to-person basis in open areas outside the buildings and other closed structures on campus are subject to the following restrictions:

- a. Except with the permission of the appropriate authority, no stand, table, or booth shall be used for distribution.
- b. Distribution must take place at designated locations, and salespeople are not permitted to walk around campus distributing written materials.
- c. It is not allowed to have any advertisement or other public statements in which the University's name is used in connection with any other 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.

Effective Date

This policy shall be in effect as of September 1st, 2021.

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
V 1.3	14/06/2021	Minor change – update some terminology	Director of Finance

External Audit Policy

Policy Owner(s)	Chief Operating Officer	Responsible Office	Office of Finance
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

The purpose of this policy is to ensure that Ajman University's external audit practices are maintained and deemed extremely reliable, as well as to detail the procedures for Ajman University's staff members and external auditors while auditing the University's financial operations.

Scope

The external audit is conducted once a year, and its scope is confined to financial statements that involve the accuracy of the University's accounts, financial condition, and compliance with applicable rules and regulations. This policy applies to all audit and review operations conducted for the University's entities by external auditors.

Statement

The policy's value is determined by its objectivity and focus on the efficiency of operations, the effectiveness of procedures, the accuracy of financial information given, and the compliance with applicable standards, laws and regulations.

The external auditor should have full authority to request any information, evidence, report or document that serve the scope of audit and facilitate obtaining reasonable assurance that the financial statements are free of any incorrect statements, whether due to fraud or error, enabling to form an opinion on whether the financial statements fairly represent the financial position and performance of the University and are prepared in all material aspects in accordance with applicable reporting frameworks.

Objective

Ajman University (AU) shall cooperate fully and assist the external auditors mandated with the responsibility of examining and verifying the University's financial and operational transactions. External auditors will have access to any records relevant to the audit process. All external audit activities shall be appropriately authorized, tracked, and communicated effectively and consistently. And there will be strict measures to guarantee the independence of the auditing process, ensuring that there is no undue influence, interference, or intrusion by AU officials or any other parties.

Approval of External Auditors

The external audit firm shall be approved by the Board of Trustees, who shall consider the following aspects when selecting an audit firm:

- The audit firm's professional credibility;
- Its capability to adhere to generally accepted auditing standards;
- The knowledge, qualifications and experience of the engagement team members;
- Independence of the external auditor;
- The audit firm's quality of service and its pricing structure.

Procedures

The audit process will normally consist of the following phases:

a) Notices:

1. The audit firm is required to notify AU in advance of the proposed audit works. The Director of Finance shall be notified by the audit company about the schedule of the audit, review, or site visit.
2. This notice should specify the scope and objective of the audit, in addition to the start and end dates of the work.
3. Upon receiving such notification, the Chief Operating Officer and the Senior Audit Manager shall be notified immediately.

b) Audit Visits:

1. The audit visit's objective is to determine the audit's purpose, scope, and timeframe, as well as the information necessary by the external auditors and the physical facilities required. This initial meeting will include management and administrative staff who will be involved in the audit and will ensure proper communications.
2. The pre-visit will assist the auditor in planning and ensuring that adequate attention is paid to critical audit areas, identifying potential problems on a timely basis, organizing and managing the assignment effectively, assisting in the selection of team members, and facilitating the coordination of audit works performed.

c) Fieldwork:

1. It is critical that the Director of Finance maintains communication with the external auditor during the audit period in order to facilitate the process by ensuring that they obtain the correct information and correct any inaccuracies that may have been provided.
2. At the external auditor's request, the Director of Finance will schedule interviews, get necessary documents, respond to inquiries, and finalize statements.
3. The external auditor will conduct a review of procedures, manuals and business processes, as well as conduct compliance testing and evaluate the adequacy of internal controls.
4. All audit findings requiring a formal response will be submitted to the Director of Finance by external auditors.
5. All audit reports and responses should be kept in a working file specified for each audit. The Office of Internal Audit will prepare related correspondences and keep them in a central file that will be subject to AU records retention guidelines.

d) Exit Audit Visit:

1. In the exit meeting of the 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.
2. Upon receiving the draft report, the Director of Finance will distribute copies of the draft report to the concerned offices and coordinate the management responses.
3. The Chief Operating Officer will review and approve all responses to the draft audit report prior to submission to the external audit firm.

e) Final Audit Report:

1. The external auditor issues a final report after receiving replies to the draft report based on the exit meeting.
2. Copies of such report shall be sent to the Chief Operating Officer and the Chancellor before being submitted to the Board for endorsement.
3. All audit findings and recommendations must include a corrective action plan.
4. Every effort should be made to put recommendations into action within six months of the report's release date.

Responsibilities and Authorities

a) Director of Finance

1. Keeps track records of the external audit activities.
2. Arranges for all appropriate campus representatives to attend a formal audit visit to clarify the scope of the audit, expected audit methods, and required records and information.
3. Answers inquiries and offers guidance.
4. Notifies the senior management if there are any major situations that demand rapid attention.
5. Schedules an exit audit meeting to review results and make suggestions.
6. Distributes copies of the draft audit report to the relevant offices for written replies.

b) Senior Internal Audit Manager

1. Assists the Director of Finance with external audit arrangements.
2. Monitors the audit's recommendations for implementation.

c) Deans, Directors and Managers

1. Work with the staff to coordinate requests for specific information or interviews.
2. Send the Director of Finance all draft and final audit replies for evaluation.
3. Carry out audit recommendations that have been agreed upon.

d) Other Employees

1. Shall be cooperative and professional when interacting with auditors.
2. Shall assist the auditors with particular requests and answer the auditors' queries.
3. Shall not give out any information that isn't relevant or requested.
4. Shall inform the Director of Finance if an auditor's work is extending beyond the audit's defined scope.

Effective Date

This policy shall be in effect as of September 1st, 2021.

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
V 1.3	23/06/2021	Minor change – update some terminology	Director of Finance

Financial Guarantee Policy

Policy Owner(s)	Director of Finance	Responsible Office	Office of Finance
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

This policy aims to establish standards for stakeholders and suppliers who provide the University with services, commodities, or payments in order to mitigate any financial risks. This policy also specifies a set of rules for managing and maintaining current and approved bank guarantees for the University's operations.

Scope

This policy applies to all contracts, projects, agreements, and other regulatory requirements in which the University agrees to meet specific financial responsibilities due to third parties, such as suppliers, contractors, creditors, regulatory bodies, and other stakeholders.

Statement

This policy, as well as the processes associated with it, are intended to govern all financial activities related to financial guarantees. The University's financial guarantee policy governs its financial activities and should be matched with its objectives in order to maintain its operational and financial integrity as a prominent higher education institution.

Ajman University maintains sufficient liquid funds, investments, and positive cashflows to fulfill all academic and learning needs, research activities, infrastructure improvements, and other capacity expansion and capital investment projects. The University will always make every effort to avoid or minimize the use of external debt to fund its operating activities and regular capital investment projects, which will be funded entirely from internal sources, thereby strengthening the University's financial position and ensuring its financial sustainability.

Financial Guarantees

A financial guarantee aims to ensure that the University's financial obligations are met on time, and it could be used to protect the rights of different parties. The financial guarantee can be proven by demonstrating the University's financial ability to meet its obligations, and it can also be demonstrated by a local bank issuing a bank guarantee in favor of a third party to accomplish the same goal.

When suppliers, contractors, or other stakeholders ask for proof of financial strength and stability, the University takes the following steps:

- Providing the stakeholder with a proof of adequate financial resources, positive cashflows, and other short-term assets that can be used to meet the any financial obligations.
- If the beneficiary still requires bank guarantees as part of their contractual obligations, the University can provide bid bonds, advance payment bonds, performance bonds, and other types of bank guarantees to suppliers, contractors, and other stakeholders.
- In addition, the University takes the following steps to strengthen and improve its financial position:



1. Any excess funds are invested in highly liquid investments at local financial institutions to generate additional sources of income to meet any obligations and support all operating and capital investment needs.
 2. A sufficient safety cash margin for operational activities is kept to cover any unexpected events that may arise during business operations.
 3. In addition, it keeps a sufficient contingency fund in its annual budget to cover any unexpected operational or capital funding requirements.
- d. Furthermore, AU has to maintain an updated financial risk management policy in which credit risk, liquidity risk, accounts receivable risk, and other business risks are regularly monitored and assessed, and suitable control measures are implemented.

Issuance of Bank Guarantees

The following steps shall be followed upon issuing bank financial guarantees in favor of any beneficiary:

- a. The authorized line manager of the requesting unit (college or office) informs the Office of Finance that a bank guarantee is required.
- b. All supporting documents, including all information of the required bank guarantee, contracts, type of guarantee, purpose, value, currency, beneficiary details, address, validity, and any other applicable terms and conditions, must be presented to the Office of Finance.
- c. The Office of Finance completes the necessary request forms, enters the transaction into the system, and sends it to the authorized signatories for approval.
- d. Once the authorized signatories approve the bank guarantee request, it will be sent to the bank for processing and issuance.
- e. The Office of Finance collects the bank guarantee and hands it over to the authorized person of the requesting unit

Tracking and Closure of Bank Guarantees

Bank guarantees must be registered and maintained on regular basis to verify that they are still valid; otherwise, they must be terminated immediately to avoid any bank charges. To ensure this is done smoothly, the following procedures must be taken:

- a. The Director of Finance maintains a consolidated register of the issued bank guarantees.
- b. All bank supporting documents of issued bank guarantees are archived in a secure location.
- c. The Office of Finance shall assess all of the issued bank guarantees on a monthly basis to determine whether their validity is still required.
- d. The beneficiary must provide proof of completion in order for the issuing bank to proceed with the bank guarantee cancellation processes.
- e. Once the purpose of issuance has expired, bank guarantees must be terminated immediately (i.e. the project is completed, the services are performed...etc.).
- f. The proof of completion shall be obtained from the beneficiary in order to proceed with the bank guarantee cancellation process.

Effective Date

This policy shall be in effect as of September 1st, 2021.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	04/07/2021	Initial Policy	Director of Finance
V 1.1	22/07/2021	Amended	Chief Operating Officer

Sustainable Investment Policy

Policy Owner(s)	Chief Operating Officer	Responsible Office	Office of COO
Approved By	Chancellor	Effective Date	Jan. 2022
		Next Review Date	Jan. 2025

Introduction

Ajman University is a socially responsible institution that promotes community engagement, environmental sustainability and global citizenship while supporting the needs and challenges of the local and global community. In line with the University's core values, the Sustainable Investment Policy sets forth the University's approach to sustainable investment.

Purpose

This policy sets the principles of ethical investment; it guides investment decisions and sets governing procedures consistent with the University's social responsibility core value.

Overview

AU strives to decrease any possible negative influence from its investment returns. This policy ensures sustainable practices are embedded in the decision-making process while taking into consideration the following Environmental, Social and Governance (ESG) factors:

- A. Climate change and carbon footprint.
- B. Equal and affordable higher education.
- C. Gender and racial equality.
- D. Plastic and waste disposal.

Scope

This policy applies to all investment opportunities, initiatives, partnerships, existing and new operating activities of all colleges, offices and centres of Ajman University.

Policy Statement

AU Community members engaging in any investment activities, new business opportunities or partnerships should implement the following principles:

- A. Manage funds sustainably to benefit current and future community members.

- B. Embed sustainable practices into all decision-making processes and ensure they reflect ESG factors as well as AU's core values.
- C. Ensure all investments have a positive impact on community members, society and the environment.
- D. Maintain transparency in all investment decisions.
- E. Disclose any new information regarding new or existing investments.
- F. Minimize investment activities that have a negative environmental impact.
- G. Reduce investment risk through diversification.
- H. Regularly assess investment returns and risks.
- I. Reduce resources consumption through recycling and waste management.
- J. Research and implement new sustainable investment ideas on continuing basis.
- K. Lead by example and positively influence all other entities.

Governance

AU is committed to take financially sustainable investment decisions, being one of the top institutional priorities; by embedding sustainability into all operational and financial activities to ensure performing as a socially responsible institution, where all business activities have a positive impact on individuals and communities. As a reflection of that, the Board of Trustees' Financial Sustainability Committee is mandated to oversee all investment decisions of the University to ensure that all operating activities, processes, supply chains, investment opportunities and partnerships are sustainable, socially responsible, environmentally friendly and of great value to the community.

Operations

The University is committed to use its investments to support environmentally and socially positive activities, thus contributing to a more sustainable global financial system. Operational processes shall focus on incorporating sound sustainability criteria in the following areas:

1. Procurement Activities:

The overall objective of the University's procurement activities is to maintain active relationships with vendors to enable timely and uninterrupted supply of goods and services at the best value for money, while considering the social and sustainable environmental factors. This shall be achieved by sourcing the needed goods, services and works with an appropriate quality and at the most economically advantageous terms reasonably available to the University. Agreements shall consider suppliers who meet and promote ethical trading standards and have a minimal environmental impact in their supply chain.

2. Energy Through Buildings and Infrastructure:

All buildings or renovated infrastructures on campus shall be constructed using sustainable resources and energy saving solutions, along with an integrated Building Management Systems (BMS's) to manage the internal environmental condition of the building and make it more secure and energy-efficient. This practice will be effective in reducing the carbon emissions from the usage of electrical equipment, HVAC systems, ventilation, elevators, plumbing and water usage monitoring, lighting and fire alarm systems.

3. Water and Circular Economy:

Waste water that is generated on campus as a result of the University activities, shall not be disposed into the sewerage infrastructure before recycling most of it and reusing it as part of sustainable environmental practises. The University shall maintain its own water treatment facility on campus, which shall be used to treat the waste water through the reduction of suspended solids and biodegradable organic matter to an acceptable limit. This aims at improving the capability of producing treated water that meets the standards for water reuse in volume and quality. All the treated effluent shall be used for irrigation of the green areas, plants, flowers, and fruit bearing trees on campus.

4. Renewable Energy Sources:

The University has to maintain a long-term and ongoing plan to invest in energy optimization solutions across all campus buildings; including the adoption of BMS's, use of solar panels and other alternatives that aim at increasing the efficiency of electrical power usage and lowering carbon footprint.

5. Waste Reduction Solutions

The University shall invest in solutions that would help the community members to effectively reduce waste such as:

- Reduction of paper waste by adopting paperless policies and implementation of digital processes, data software and other digital solutions.
- Reduction of food waste by adopting soil composting initiatives and using it to fertilize on campus green areas.
- Invest in programs that help in collecting and recycling electronic waste.
- Invest in waste recycling bins to be spread across campus.
- Partnerships with local authorities to engage in community campaigns for beach and desert cleaning, awareness sessions for waste reduction and lowering carbon footprint, tree planting and waste recycling.

Endowment Funds

As part of AU's strategic financial vision, endowment funds shall be considered as an enabler to strengthen the University's capabilities of supporting needy students on ongoing basis. Therefore, the University has to maximize the contributions from its donors in form of endowment funds, which shall be invested to achieve that goal, while ensuring excellence in research and education for the benefit of society.

1. The University is committed to secure a sustainable source of endowment funds for students to ensure equal opportunities in education for all its students and to maximize the continuity of financial support in the long run.
2. This commitment shall be supported at the leadership level. The BoT's Financial Sustainability Committee is mandated to monitor the long- and short-term financial activities and develop solid plans to ensure the continuity of financial grants, sponsorship and fundraising.
3. Certain targets for fundraising shall be included in the short- and long-term financial plans of the University and reflected into the Performance Contracts (PC's) of respective directors and managers of the units involved.
4. Endowment funds shall be invested in long-term investments that have the lowest possible risk levels and generate stable returns that are sufficient to support needy students on continuing basis.
5. The University shall utilize the majority of its future funding from donors in endowed funds. The Office of Development shall coordinate and manage fundraising activities to provide support for Ajman University operations, special programs, endowments and scholarships.
6. Certain percentage of investment returns shall be maintained in special reserve to hedge against any potential fluctuations in returns and ensure sustainability of funding.

Thamer Fund for Educational Solidarity

The University is committed to being an inclusive environment providing quality education and innovative teaching to national and international students from all social classes. The University shall support this commitment throughout maintaining different funds, initiatives and sustainable investments.

1. AU has set up the Thamer Fund for Educational Solidarity that relies on generous charitable donations from external and internal donors that are used to support the University's needy students on continuing basis.
2. The Thamer Fund Building represents one of the main sustainable sources of income that is dedicated to support the fund, using the proceeds generated from the rental of residential units of the building.
3. The University has to regularly monitor its returns from such investment and expand the funding



sources to ensure the continuity of this support as one of its main commitments to its students and the community as a whole.

Reporting and Review

The Office of Chief Operating Officer is responsible for policy implementation, reporting compliance and improvement initiatives.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	01/01/2022	Initial policy	Chief Operating Officer

Vehicle Acquisition Policy

Policy Owner(s)	Chief Operating Officer	Responsible Office	Office of University Facilities
Approved By	Chancellor	Effective Date	Jul. 2022
		Next Review Date	Jul. 2025

1. Introduction

Ajman University is committed to ensuring Community member's wellbeing by reducing the safety risks associated with using AU vehicles, maximizing the quality of services and comfort of stakeholders, minimizing the environmental impact and optimizing the usage of resources.

2. Purpose

The purpose of this policy is to set guidelines and requirements needed for efficient vehicle acquisition cycle in order to meet all safety requirements, reduce the running costs of the used vehicles, and minimize the risk of losses, damages and claims against the University.

3. Scope

This policy applies to the acquisition of all Ajman University's vehicles; whether a replacement of old vehicles or an addition of new vehicles that are used for student transportation, University's official duties, field trips, and other business-related transportation activities.

4. Policy Statement

Vehicles shall be replaced when any of the following conditions is met:

- A. Depending on the intended use of the vehicle, it shall be replaced once it exceeds the life cycle or mileage mentioned in the table below, whichever is sooner.

Intended Use of Vehicle *	Life Cycle	Mileage
VIP Vehicles	8 years	400,000 km
Logistics Vehicles	12 years	400,000 km
Truck and Pickup Vehicles	15 years	500,000 km
Passenger Vehicles (Student Buses)	15 years	500,000 km

- B. The average annual cost of the vehicle's repair and maintenance exceeds the annual depreciation expense of replacing the vehicle by a new one of the same brand, type and the latest model.
- C. The vehicle is in poor operating condition, not fit for use, puts the driver and/or passengers at risk or represents a source of safety risks for road hazards and crashes.

- D. Replacement of University's vehicles can be prioritized and implemented gradually, taking into account the impact on cost, availability of resources and cash flows, classification of the vehicle, its life cycle and mileage.

** The classification of vehicles into these categories shall be decided by the Transportation Unit, based on the intended use of the vehicle and in coordination with the COO.*

5. Authorization Of Acquisition

Authorization to acquire a replacement or additional vehicle must be granted by the Chief Operating Officer, prior to any vehicle purchase. Sufficient budget should be specifically available under the "Motor Vehicles" line item of the CAPEX Budget of the requesting unit. Acquisition of any vehicle should follow the standard procurement cycle, as per the Procurement and Stores policy.

6. Vehicle Specifications

- A. The acquisition of any vehicle shall be made in light of the following considerations:
1. The purpose and frequency of usage: the vehicle should be appropriate for the intended use; including the expected distance of trips, nature of the official business purposes, guests, students or employees.
 2. Price, brand, model and specifications for the intended use.
 3. Vehicle's record for reliability, low maintenance costs and fuel consumption.
 4. A 3-year warranty and maintenance contract from the date of purchase should be provided when acquiring any new vehicle. The terms of insurance should also include agency repair for the same period.
 5. By default, vehicles should be replaced by new ones of the latest models, same brand, similar capacity, specifications and body type, unless there is a reasonable justification to change, and taking into account the above mentioned considerations.
- B. If a College's or Office's productivity is being affected due to the lack of vehicle availability or the frequent need for renting an external vehicle, the College or Office may request the acquisition of an additional vehicle to increase the operating capacity of the existing fleet of vehicles. The request shall be duly approved as part of the annual budget of the respective College or Office. In all cases, the request must be justified with an appropriate evidence and should be approved by the Chief Operating Officer.

7. Vehicle Disposal

- a. The Office of University Facilities and Services - Transportation Unit shall arrange the disposal of all University vehicles that are no longer needed or are scheduled for replacement and shall update all records accordingly.
- b. Vehicles being replaced shall be sold on auction basis to guarantee the highest resale value in coordination with the Office of Procurement and according to the fixed asset disposal cycle as stipulated in the Procurement and Stores policy.
- c. Office of University Facilities and Services - Transportation Unit shall arrange for the termination of registration, return of license plates and payment of any due fees such as tolls, parking or fines.

8. Vehicle Maintenance

Drivers are responsible to ensure that the vehicle in use is safe and in a good working condition at all times. Any necessary maintenance, damage or repair works shall be carried out through the Transportation Unit only.

9. Effective Date

This policy shall be in effect as of July 1st, 2022.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	01/07/2022	Initial policy	Chief Operating Officer

10. Legal Compliance and Public Disclosure



جامعة عجمان
AJMAN UNIVERSITY

Transparency and Institutional Integrity Policy Statement

Policy Owner(s)	Legal Advisor	Responsible Office	Legal Office
Approved By	Chancellor	Effective Date	Jun. 2022
		Next Review Date	Jun. 2025

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.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	22/12/2019	New policy	Legal Advisor
V 1.1	29/06/2022	The policy has been reviewed and there are no changes required.	Legal Advisor

Intellectual Property Policy

Policy Owner(s)	Legal Advisor	Responsible Office	Office of Legal Affairs
Approved By	Chancellor	Effective Date	Sep. 2021
		Next Review Date	Sep. 2024

Purpose

This policy provides guidance for faculty, staff members, academic support staff, 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.

Scope

This policy applies to all faculty members, staff members, academic support staff, and students at Ajman University.

Definitions

In the implementation of the provisions hereof, the following terms and phrases shall have the meanings assigned for each of them unless the context requires otherwise:

The State: United Arab Emirates.

The Ministry: The Ministry of Economy.

The Minister: The Minister of Economy.

The Work: Any innovated work, in the literary, artistic or scientific domain, of whatever type, manner of expression, significance or purpose

The Author: The person who creates the work. Unless otherwise established, shall be considered the author of the work, any person whose name is mentioned thereon or if, upon publication, the work is attributed to him as being the author thereof. Shall also be considered author, whoever publishes anonymous or pseudonymous work, or in any other manner, provided that there is no doubt as to the true identity of the author; otherwise the publisher or producer of the work, whether a physical or juridical person, shall be deemed as representing the author in the exercise of his rights, until the true identity of the author is recognized.

Innovation: The creative character that bestows genuineness and distinctiveness upon the work.

Owners of related rights: performers, producers of sound recordings and broadcasting organizations, as defined in the Law.

Performers: Actors, singers, musicians, dancers and other persons who recite, sing, play or otherwise perform, in any manner, literary, artistic or other works, that are protected pursuant to the provisions of this Law, or that have fallen into public domain.

Producers of Sound Recordings: Any physical or juridical person who first records sounds of a performer, or other sounds.

Broadcasting: The audio, visual or audiovisual transmittal of work, performance, sound recordings or program and its recording, to the public by wireless means. Transmission via orbits and satellites shall also be deemed broadcasting.

Publication: Availability to the public, in any manner whatsoever, of the work, sound recording, broadcast programs, or any public performance.

Copying: The making of one or more copy of a work, sound recording, broadcast program, or any performance in any manner or form, including loading or permanent or temporary electronic storage, regardless of the method or device used in copying.

Statements

A. DISCLOSURE TO THE UNIVERSITY OF ANY AND ALL WORKS, TRADEMARKS AND INVENTIONS

The employee/student shall promptly communicate and disclose in writing to the Dean of Research and Graduate Studies any and all trademarks, inventions, and works, in the literary, artistic or scientific domain, of whatever type, manner of expression, significance or purpose, which are made, conceived, developed or reduced to practice by the employee/student alone, or jointly with others, during the time of his/her employment/ study at the University.

B. COPYRIGHTS AND RELATED RIGHTS

1. Moral Rights

The author and his/her successors shall enjoy, in respect of the work, moral rights, which are not subject to prescription or assignment. Such rights include:

- a- The right to claim paternity of the work.
- b- The right to object to any alteration of the work if such alteration shall cause distortion or mutilation to the work, or be prejudicial to the standing of the author.
- c- The right to withdraw his/her work from circulation in case serious justifiable reasons occur. The exercise of such right shall be through the competent court and, in this case the right owner shall be condemned to pay in advance a fair compensation to the assignee of the financial exploitation rights within the period specified by the court and prior to the execution of the judgment, failing which the said judgment shall be devoid of any effect.

2. Financial Rights

The employee/student hereby assigns his/her financial exploitation rights in all such works (mentioned in A), to the University or to a third party designated by the University, for thirty years, to use it anywhere and everywhere. In case of commercialization, the University shall pay to the employee/student in return a fair compensation, in the University sole discretion, taking into account the economic value of the work and the level of support provided by the University to the employee/student in making it.

C. PATENTS

A. When the employee or the student discovers a new invention or discovery during the time of his/her employment/ study at the University, the latter will not be entitled to it except in the following instances:

- 1 - In case the nature of the work agreed to aims to attain such purpose.
- 2 - If the contract concluded with the employee or the student expressly stipulates that the University is entitled to any invention reached at by the employee or the student.

3 - When the employee or the student realizes his invention through the materials, tools, constructions or other means put at his disposal by the University for this purpose.

B. If, however, the invention or discovery, in the foregoing instances, is of serious economic importance (according to a committee composed by the University), the employee or the student may ask for a special remuneration to be fixed in accordance with the principles of equity, in the University sole discretion, taking into account the extent of help supplied by the University.

D. TRADEMARKS

The employee/student hereby assigns all trademarks mentioned in A to the University or to a third party designated by the University which shall pay to the employee/student in return a fair compensation (in case of commercialization), in the University sole discretion, taking into account the economic value of the work and the level of support provided by the University to the employee/student in making it.

E. THE INTELLECTUAL PROPERTY RIGHTS APPLICATION

As to such Intellectual Property, upon request of the University, the Employee/student shall:

1. execute all documents and provide all assistance necessary or proper to enable the University to record and defend the Intellectual Property and to enable the University to file and prosecute patent, copyright, and trademark applications in the UAE and any foreign country to the extent applicable; and
2. do all other things (including the giving of evidence in suits and proceedings) to obtain, maintain and assert patents, copyrights, trademarks or other rights in such Intellectual Property.

F. INTELLECTUAL PROPERTY RIGHTS UPON TERMINATION OR EXPIRATION OF STUDY AND/OR EMPLOYMENT

Immediately upon termination or expiration of his/her study/ or employment at the University, the student/employee shall deliver to the Dean of Research and Graduate Studies, without further claims - all Teaching material and Intellectual Property (including all copies and extracts thereof and/or stored electronically on any medium) which are then in his/her possession or under his/her control. All of them belong to the University.

G. PHOTOCOPYING AND COPYING

Pursuant to article 22 of the Federal Law No. 7 On Copyrights And Related Rights, without prejudice to the moral rights of the author, provided for in this Law, the author may not prevent third parties, after the publication of his work, from performing any of the following acts:

1. Reproducing, in paper or electronic form, one single copy of the work to be personally used by the reproducer himself, for non-profit and non-professional purposes; with the exception of works of fine or applied arts, unless exposed in a public place with the consent of the right owner or his successor, as well as architectural works, except as stated in clause 7 of this Article, computer programs, and applications thereof and databases, except as stated in clause 2 of this present Article.
2. Making one single copy of the computer program or applications thereof or of the databases, with the knowledge of the legitimate possessor thereof. Such person may alone make extracts thereof provided that they fall within the licensed purpose or for the purpose of saving or substitution in case the original copy is lost, damaged or becomes unfit for use; and on condition that the spare or

extracted copy be destroyed, even if downloaded or stored in the computer hardware, once there is no more reason for keeping the original copy.

3. Reproducing protected works for use in judicial proceedings, or their equivalent, within the limits prescribed by such procedures, with mention of the source and the name of the author.
4. Making a single copy of the work through the non-profit archives, libraries or authentication offices, either directly or indirectly, in one of the two following instances:
 - a- Reproduction is made for the purpose of preserving the original copy or of substituting a lost, damaged copy or one unfit for use, if it has become impossible to obtain a substitute thereof under reasonable conditions.
 - b- The purpose of reproduction is the satisfaction of a request made by a physical person, to use it in a study or research provided it is done only once and on different intervals in case it was impossible to obtain a license for reproduction pursuant to the provisions of the present Law.
5. Citations of short paragraphs, excerpts, or analyses, within the customary limits of the work, for the purpose of criticism, discussion or information, with mention of the source and name of the author.
6. Performance of a work in meetings with family members or by pupils in an educational institution, so long as such performance has not been made for direct or indirect consideration.
7. Exhibiting works of fine, applied, plastic or architectural arts in broadcasts, if such works permanently exist in public places.
8. Reproducing short abstracts of a work in the form of manuscripts or audio, visual, or audio-visual recordings, for the purposes of cultural or religious education, or vocational training provided that reproduction is made within the reasonable limits and does not go beyond the purpose thereof; mention shall be made of the name of the author and the title of the work, whenever possible; the reproducer shall not directly or indirectly seek profit; and it was not possible to obtain a license for reproduction pursuant to the provisions of the present Law.

H. GOVERNING LAW

Intellectual Property rights shall be governed pursuant to the UAE legislations.

I. COMPETENT COURTS

In case of any litigation, only UAE Courts are competent to hear cases arising out or related to Intellectual Property rights.

Miscellaneous

- A. This policy supersedes and replaces any other old related policies, procedures, minutes of the meeting, manuals, handbooks, and bylaws. However, in case of any conflict between the Policy and the contract, the latter prevails.
- B. The Office of VCAA is responsible for handling any issues that might arise and are not covered in this policy, and raise recommendations to the Chancellor for his final discretion.
- C. Ajman University reserves the right to make changes to its Policies at any time and for any reason. The updated Policy will be deemed to have been delivered, received, and known by all employees/students one day after posting the updated Policy on the website, or sending the updated version by email. The employee/student shall comply with the updated Policy since its effective date.



- D. Any exceptions to any clauses of this policy must be well justified and escalated to the Chancellor for approval.

Effective date

This policy shall be in effect as of September 1st 2021.

Document History

Version	Date	Update Information	Author/ Reviewer
V1.0	24/10/2010	Initial policy	University Research Council
V2.0	03/09/2017	New Policy – sets clear ownership arrangement for all member of the University community	Legal Advisor
V2.1	08/03/2021	The Policy has been updated in line with three UAE Laws: 1-Law on Federal Law No. 7 On Copyrights and Related Rights. 2-Law on Trade Marks. 3-Federal Law No. (31) For the Year 2006 Pertaining to The Industrial Regulation and Protection Patents, Industrial Drawings, And Designs.	Legal Advisor

Publications Policy

Policy Owner	Director of Office of Strategic Communications, Marketing and Student Recruitment	Responsible Office	Office of Strategic Communications, Marketing and Student Recruitment
Approved By	Chancellor	Effective Date	Jun. 2022
		Next Review Date	Jun. 2025

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 Strategic Communications, Marketing and Office of Strategic Communications, Marketing and Student Recruitment. 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 Office of Strategic Communications, Marketing and Student Recruitment in order to promote and protect AU brand.

Printing and publishing

All University published or reproduced material must be coordinated through the Office of Strategic Communications, Marketing and Student Recruitment. 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 Office of Strategic Communications, Marketing and Student Recruitment 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 stationery format, or request for a special design, shall require the approval of the Vice-Chancellor for Communication and Community Affairs.

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 Office of Strategic Communications, Marketing and Student Recruitment. When dealing with external agencies the Office of Strategic Communications, Marketing and Student Recruitment 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 Office of Strategic Communications, Marketing and Student Recruitment, 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 Office of Strategic Communications, Marketing and Student Recruitment. 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 Office Of Strategic Communications, Marketing and Student Recruitment 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
V 1.2	29/06/2022	Minor change – The Office of Marketing and Communications has been changed to the name of the restructured office, Office of Strategic Communications, Marketing and Student Recruitment.	Acting Director, Office of Strategic Communications, Marketing and Student Recruitment

Communications and Social Media Policy

Policy Owner(s)	Vice-Chancellor for Communication and Community Affairs	Responsible Office	Office of Strategic Communications, Marketing and Student Recruitment
Approved By	Chancellor	Effective Date	Dec 2022
		Next Review Date	Dec 2025

Whether you are hosting an event or creating materials for your college/ office/ unit at Ajman University, the Office of Strategic Communications, Marketing and Student Recruitment has policies, procedures, guidelines, and templates to assist in your efforts.

Before making a request, please review the Office priorities and policies for event promotion and design support. If your request matches these criteria, we are excited to partner with you in raising Ajman University's reputation and visibility.

While our office priority is to support university-wide events and to design publicity campaigns that promote AU's overall mission and vision, we are very pleased to provide self-help resources to help you create your in-house initiatives.

The Office of Strategic Communications, Marketing and Student Recruitment has the great responsibility of promoting Ajman University on the global map of higher education. The following are our top strategic priorities which support the objectives found in AU's [strategic plan](#).

- Initiate and disseminate publicity campaigns that foster our rankings and reputation.
- Recruit future students by marketing AU's strengths and major activities to vast audiences. Such traits and events include global ranking, international accreditation, annual admissions campaign, as well as AU's signature campus events like Convocation, Commencement, the Annual Dinner, Global Day, Demo Day, Honors Assembly, etc.
- Celebrate and promote major milestones in the University's journey of excellence, i.e. international achievements, global accreditations, donor initiatives, major awards, and notable research initiatives.
- Design materials for QS publications and events, as well as for other key outlets that raise the local, regional, and global profile of AU.
- Select and distribute promotional items featuring AU branding at special events and sponsorships.
- Distribute news releases and write stories that help AU realize its vision of becoming one of the leading universities in the Arab world for its cutting-edge learning environment, impactful research, responsible outreach, and community engagement.

If your request for any marketing material meets the criteria outlined in our policy and matches AU's strategic priorities, our team will work closely with you to create your materials and provide support for your events. The following guidelines will help make our communication more productive and efficient:

- Things to provide: Strategic content, branding, information, media relations, proofreading, registration for events/workshops, translation, etc. (specify in your request)
- Timeframe for turnaround: four days before the launch date
- Changes and revisions: maximum two days before the event with all changes approved.

If your request does not meet the threshold for our assistance, we are pleased to provide the following resources to help you produce your materials in alignment with AU's brand and identity.

Key Messages

AU now has a set of keywords and messages that should be used when creating events and promotional materials.

- **Make It Happen.** You can insert other keywords or core values in place of the word “It.” For example: Make Social Responsibility Happen; Make Excellence Happen: Make Innovation Happen: Make Inclusiveness Happen; Make Internationalization Happen.
- **Compassion & Innovation.** These two words capture the goals and spirit of Ajman University in one short phrase. They resonate with external audiences while defining AU’s commitment to social responsibility and research in concrete terms.
- **Delivering a world-class education in a global environment.** This phrase captures the essence of AU and is used in our student brochure as well as in our QS advertisements.
- **Among the top 2.25% of universities worldwide.** This percentage is calculated based on the fact that QS has ranked us in the Top 700 of institutions around the world. See our [rankings and accreditation page](#) for further information and statements.
- **Excellence. Integrity. Inclusiveness. Innovation. Social Responsibility.** These are our five core values. Please use these terms throughout your documents and marketing materials.
- **See yourself here.** AU is an inclusive campus, where people from all walks of life come together to learn and grow.

Our photographer has created a library of images that convey AU in Action. When using pictures in your materials, please be sure to showcase our institution’s “make it happen” spirit. We kindly offer the following guidelines when selecting images to promote our unique campus experience and environment:

- **Photos of people.** Images of buildings don’t convey an experience. Please always use pictures that include humans interacting with their environment. AU has award-winning facilities and award-winning people – put them together for maximum impact!
- **Tell a story.** As the old saying goes, pictures are worth a thousand words. Use images that are dynamic and engaging to generate excitement about what you are offering.
- **Showcase diversity.** AU is committed to diversity and inclusion. Be sure the pictures you use in materials capture and convey that commitment.
- **Use close-ups.** Pictures taken from a distance don’t look good in documents or on websites. Avoid using photos of big rooms full of people as they don’t tell a story about what’s happening in that space.

Downloadable resources for creating presentations and documents for academic and business purposes.

- Brochure Templates
- PowerPoint Templates
- Stationery Templates
- University Logos
- Downloadable high-resolution versions of AU’s logo for use in your materials.
- Primary logo in color
- Primary logo in black and white
- Secondary logo in color
- Secondary logo in black and white

The Office of Marketing and Communication is delighted to provide promotional and/or design support (i.e., photography and graphic design services, social media coverage, press release distribution) for events and materials that meet all of the following criteria:

1. Aligns with [AU's strategic plan](#):

- Ensuring excellence in teaching and learning;
- Enhancing the quality, relevance, and impact of research and intellectual contribution;
- Recruiting, supporting and fostering the development of a bright and diverse student body;
- Enhancing the visibility and the positioning of the University
- Building impactful and long-lasting ties with the external communities;
- Promoting cutting-edge and innovative support services.

2. Attracts or appeals to university-wide and/or external audiences:

- Will your event attract a wide scope of attendees, i.e. stakeholders and audiences representing more than one department?
- Will your event or document positively impact the local, regional, or global visibility of AU?
- Are your proposed materials (i.e. documents, brochures, and graphic designs) for mass distribution with broad appeal?

3. Promotes AU's [mission, vision, and core values](#):

- From our mission: AU develops well-rounded graduates who are professionally competent, socially responsible, innovative, and active contributors to the sustainable development of the UAE and beyond.
- From our vision: Ajman University aims to be internationally recognized as one of the leading universities in the Arab world for its cutting-edge learning environment, impactful research, responsible outreach, and community engagement.
- Our core values: Excellence; Integrity; Inclusiveness; Social Responsibility; Innovation.

4. The impact will be evaluated and measurable:

- How will you demonstrate the impact of your event or materials on AU's visibility and reputation?
- How will you evaluate your efforts once your event or initiative is completed?
- The text should be as minimum as possible, short, attractive, engaging, and simple.
- No QR code should be shown. QR code is not needed and may be useless and ruins the beauty of the artwork. If there is a link, then the link will be attached on social media platforms.
- Any artwork cannot be posted more than 2 times maximum. If the period is very long, then every 10 days the artwork can be posted with the condition of proving the frequency of responses if enough to be eligible to get reposted.
- If a workshop is only in Arabic and the registration for it requires only Arabic speakers, then the artwork should only be in the Arabic language.
- If the workshop/seminar/event is in English, then the artwork can include both languages but should be very simple and brief describing the purpose of the event along with the contact details.
- Any student who would like to show his/her work, activities, studies, or creativity can mention us on social media to get his contribution reposted. All our usernames on any platform are @ajmanuniversity.
- No videos, photos, or any kind of media done /shouted by students can be posted without their consent form or an email saying that they do not mind it being shared on social media along with their full name, age, and student ID number.
- We have the right to post, reject, or postpone certain posts as appropriate. The posts might not enhance the image/branding of the university or the timing of the post is not impactful in terms of marketing/visibility.
- Artworks should be completed and sent before the day of publishing with at least two days ahead to be approved, adjusted, or rejected.



- No videos, pictures, or any kind of media that is created by students should be posted from the university's account. All media should be strictly mentioned by students except for an initiative by the university where AU volunteers are required.
- All artworks should have the icons of social media platforms at the bottom with the username.
- Each college /deanship/office should have one authorized staff member to handle the social media of the college/office and act as a liaison with the office of marketing/ the social media specialist.
- All posts must be approved by the dean, director, and/ or manager before posting.
- Videos should be short and within the range of 30s to 40s.
- All teaching faculty members should introduce their students on the importance of following all AU social media pages, encourage them to follow as some important announcements and events are beneficial for the students. Faculty members should follow our pages.
- Encourage faculty members when creating research papers to be posted on the University's LinkedIn profile, where their research will be reposted.

Social Media

Social media channels provide important and exciting opportunities for the University and its parts to communicate and engage with a wide range of audiences and stakeholders. These channels also provide a range of professional and personal opportunities for staff and students. However, there are also several risks associated with the use of social media which could ultimately impact the University's reputation.

- To provide staff and students with information about University requirements and expectations of social media.
- To ensure a consistent approach to social media across the institution.
- To set out the legal risks associated with social media use.
- To ensure staff and students do not put the University accounts at risk or their personal.
- To set out the responsibilities of social media account users.
- To support users of social media accounts to mitigate the risks associated with social media, protecting themselves as well as the University.
- To clarify the expectations of staff and students using social media in an individual professional or personal capacity
- To outline channels for escalation of issues or concerns
- To provide staff and students with the resources for posting

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	20/05/2021	Initial policy	Office of Marketing and Communication
V 1.1	12/12/2022	Minor updates – Offices names have been updated as per the new organization chart	Office of Strategic Communications, Marketing and Student Recruitment

Policy on Responding to Requests for University Information

Policy Owner	Vice-Chancellor for Communication and Community Affairs	Responsible Office	Office of Marketing & Communication Office Institutional Planning and Effectiveness
Approved By	Chancellor	Effective Date	Jul. 2021
		Next Review Date	Jul. 2024

Purpose

This policy aims to direct Ajman University employees in handling internal and external requests for data or information about the University.

Scope

This policy applies to all members of the AU community who are facilitating or responding to requests of information or data about the University.

Definitions

University: Ajman University

University Data: Any recorded data or information relating to the University's business, prepared, owned, used, received, or retained by the University and its employees and agents. Such data or information can be handwritten, typed, taped or online platform recorded, printed, photostatted, photographed or recorded by any other method.

Internal Requests: Internal requests are those made by a University office, a University employee, or a student.

External Requests: External requests are those made by individuals, agencies, groups or other entities outside of the University or by University members not acting in their official University capacity.

University Official: A University Official is a University employee, administrator, officer, staff, professional, and any other individual who has been authorized by the University to act on behalf of the University.

Official University Webpages: AU's webpages are those that have been created by the University, its campus, colleges, departments or other administrative unit, for University business. Official University webpages clearly convey a relationship to the entire University and support and advance the University's mission.

Legitimate Business Purpose: A University official has a Legitimate Business Purpose if the disclosure is relevant and necessary in the requester's official duties and is related to the purpose for which the information was acquired. Any University official who needs University data in the course of performing instructional, supervisory, advisory, or administrative duties for the University has a legitimate Business Purpose.

Publicly-Available: Any information that is either published on one of the official University webpages, the Undergraduate or Graduate Student Catalog, or other official University publication.

Non-publicly Available: Information that the employee gains by reason of employment with the University and that he/she knows or reasonably should know has not been made available to the general public.

Statement

Ajman University considers University data in all its forms and throughout its life cycle, as both an asset and resource of the University. Accordingly, AU's University data must be protected to meet the [Data and Privacy Protection laws in the UAE](#).

AU responds to internal and external University data request. Requests are handled on a case by case basis, mainly facilitated by the Office of Marketing and Communication (OMC) and the Office of Institutional Planning and Effectiveness (OIPE):

- Internal University data requests that meets legitimate business purpose shall be directed to the concerned office.
- External requests for quotes, interviews among others, are generally directed to the Office of Chancellor to ensure that the quotes and interviews, come from the highest level in the University management. The Office of the Chancellor may also direct requests to other members as appropriate to strengthen the positioning of individual colleges and/or offices.
- External requests for University data by accreditation agencies, higher education ranking organizations, international university networks, and government/ non- government entities are directed to the Office of Institutional Planning and Effectiveness (OIPE).

Procedures

In responding to University data request, AU make considerations of the following and not limited to:

Data request handled by OMC

Requests received by the OMC are usually publicly-available and are used for marketing purposes. This include rankings and accreditations, number of students at AU and so on. The OMC works with trustworthy media outlets, and ensure that appropriate consent of data source, review for accuracy of content and approval process are strictly adhered to as follows:

Data and privacy protection

- External requests received are typically from journalists and media professionals that are known by the marketing team or can be easily verified online. AU may choose not to respond to certain media queries that are deemed sensitive or inappropriate. AU generally works with leading newspapers, news channels and agencies of repute in the region. There may be institutions that operate in a niche area but are important to AU's objectives and present a transparent and meaningful proposal. AU may work with such niche agencies from time to time, after taking proper approvals.
- In case of pictures of students, alumni, recorded interviews, social media posts, etc.; express approval is taken from the students involved to ensure that nothing is shared externally without their approval. A consent form is filled out by the students for this purpose, indicating that they agree to the use of their pictures and information in promotional material.
- In some cases where students who are also social media influencers are roped in to collaborate with the university, a legal contract exists that mentions rights and responsibilities of each party to the contract.

Data accuracy and publication or release approvals

- The OMC releases information that is used for marketing purposes, data that positions AU as an institution of choice for prospective students and other stakeholders. OMC always endeavors to

share the most accurate information on rankings, accreditations, collaborations, research, among others.

- Data pertaining to various colleges/offices is first vetted by the Manager or Head of the Department/Office for accuracy and confidentiality. Given the speed and dynamics of marketing and communications and the agility required, the Vice Chancellor of Communications and Community Affairs is often the last stop for approvals, and the Chancellor wherever required for strategic communications that represent the official stand/view of the University.

Data request handled by OIPE

- The University data requests directed to OIPE are first reviewed by the Executive Director in order to appropriately provide guidance in preparing the response.
- The Executive Director mainly assigns the University data internal collection to the Senior Institutional Research Analyst, and may also assign other relevant staff of OIPE as deemed appropriate.
- Upon completion of internal data collection, the OIPE Executive Director shall review and approve prior to the external submission, and/or may also request other individuals (Legal Advisor/Council for Academic Affairs/Chancellor) to review and approve as deemed appropriate to ensure data accuracy and privacy protection, and legal compliance.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	01/07/2021	Initial policy	Office of Marketing and Communication Office Institutional Planning and Effectiveness

Cooperative Agreements and Contractual Relationships Policy

Policy Owner	Vice-Chancellor for Communication and Community Affairs	Responsible Office	Office of Community Engagement
Approved By	Chancellor	Effective Date	Jun. 2021
		Next Review Date	Jun. 2024

Purpose

The policy provides guidelines for the process involved in handling corporate collaborative agreements with public and private entities.

Scope

This policy applies to all internal entities (Colleges, Offices, and Units) involved in corporate collaborative agreements.

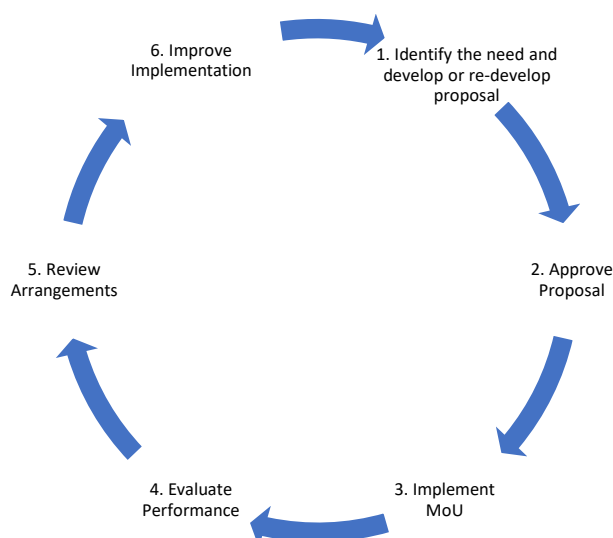
Statement

Ajman University, in line with its mission endeavors its best to comply with the CAA Standards 2019 in building external relationships. Stipulation 10.2.8 requires that “institutions associated with separately incorporated entities such as radio or television stations, foundations, hospitals, businesses, corporations, trusts or governmental organizations provide details of the nature of the relationship, describing the benefits and obligations of each party, particularly the ways in which the association furthers the institution’s mission”.

Accordingly, this policy establishes a process for development, approval, monitoring, review and, continuous improvement of collaborative provisions with corporate partners. This process is integrated within the University’s institutional effectiveness and quality assurance systems. All proposals for corporate collaborative provisions are subject to this policy.

Procedure

AU’s policy process in managing the collaborative provisions involves the following six phases:



Phase 1- Identify the need and develop/re-develop proposal for collaborative provision or agreement.

- a) AU colleges and/or offices, in line with AU's mission identify the need for collaborative arrangements and coordinates with the Unit of External Relations in the Office of Community Engagement to develop/redevelop a proposal using any of the following appropriate Memorandum of Understanding (MoU) templates.
 - Template for corporates
 - Templates for schools
 - Templates for training students of all AU's colleges
- b) Receiving a request from external entities to initiate and build a new relationship, in line with AU's mission identifies the need for collaborative arrangements and coordinates with the Unit of External Relations in the Office of Community Engagement to develop/ redevelop a proposal using their template or any of the following appropriate MoU templates.
 - Template for corporates
 - Templates for schools
 - Templates for training students of all AU's colleges
- c) The draft MoU must be submitted and reviewed, and vetted by the Director of Community Engagement, and approved by the Vice-Chancellor for Communication and Community Affairs, and by AU's Legal Advisor.
- d) The draft MoU relevant to scholarships and discounts for tuition fees offered to the second party is reviewed and approved by the Chief Operating Officer (COO) and then by the Chancellor.
- e) The draft MoU with finance-related clause(s) such as the paid training for students or any expenses and offers paid by the university as well as any offer or discount offered to the AU community by the second party like hospitals, nurseries, schools ...etc. shall be shared with the COO for feedback and approval.
- f) The draft MoU with issues or arrangements relevant to Academics shall be sent to the respective Dean(s) and/or to the Vice Chancellor for Academic Affairs for feedback and approval.
- g) Any of the reviewers may reject the proposal or may modify the draft MoU to ensure that the agreement supports the achievement of AU's Mission and/or reflects AU's Core Values. The modified draft MoU shall be sent for approval by the other party. If the other party agrees, the Legal Advisor shall legally approve the MoU.

Phase 2- Approve proposal for collaboration, including MoU and contracts

- a) The final approval of AU's Legal Advisor is done with a digital signature at the bottom of each page, which indicates that the MoU is ready to be reviewed and signed by the Chancellor.
- b) The legally approved MoU is submitted to the Chancellor for review and approval. The MOU that is digitally signed by the Chancellor shall be sent to the other party to sign it digitally, or sign it by meeting virtually via Zoom or MS Teams platform, or arranging the signing ceremony face to face at AU campus or at their venue.
- c) In case AU does not have the resources or system in place that will support the implementation of the MoU, the Chancellor may recommend that the proposal be declined.
- d) These steps must be completed within one month of the receipt of the legally approved MoU.

Phase 3- Implement Corporate Agreement of Contract

- a) The Unit of External Relations in the Office of Community Engagement should update the MOUs database regularly and the webpage publication after each new .
<https://ajman.ac.ae/en/au-mous>
- b) The Unit of External Relations is responsible only to coordinate and follow up with the external partner.



- c) Implementing the terms of MOUs is the responsibility of the concerned AU's colleges or/and offices.
- d) The concerned AU's Colleges or/and Offices should provide the Unit of External Relations in the Office of Community Engagement an annual report about what has been implemented between both parties during the academic year.

Phase 4 and 5- Evaluate actual performance and arrangements of collaboration as specified in the MoU/agreement/contract

The Office Community Engagement facilitates the evaluation of the corporate agreements and contracts in two ways.

- a) Through a satisfaction survey of the cooperative partners
- b) Through AU's internal stakeholder evaluation of the MoU Implementation using the *MoU Annual Evaluation Form*

Phase 6-Improve implementation of collaborative arrangements

- a) As part of the institutional effectiveness process, the Office Community engagement shall develop a Corrective Action Plan for unmet KPI of the satisfaction survey of the cooperative partners. The KPI-related survey uses a 5-point Likert scale and the minimum acceptable overall weighted average score shall be 3.5 out of 5 or 70%. A Corrective Action Plan is required if the achieved score for a KPI is less than the minimum acceptable score of 3.5 out of 5 or 70%. In addition, for continuous quality enhancement, each Unit shall provide an Improvement Action Plan for the following year.
- b) The Office of Community Engagement shall analyze the MoU annual evaluation results and recommend improvements in the implementation of the MoU and/or redevelop the MoU to maximize the benefits from the partnership.
- c) Upon consideration of the evaluation results and satisfaction survey results, and further consultation of the AU's internal stakeholders, the Office of Community Engagement may recommend non-renewal of the MoU/contract.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	23/06/2021	New policy	Director of Community Engagement

Privacy Policy

Policy Owner	Vice Chancellor for Communication and Community Affairs	Responsible Office	Office of Marketing and Communication
Approved By	Chancellor	Effective Date	Oct. 2021
		Next Review Date	Oct. 2024

Purpose

As part of its commitment to providing a safe online experience, Ajman University (AU) has developed this Privacy Policy that discloses the privacy practices for the University's main website www.ajman.ac.ae. It describes the terms and conditions regarding the collection, protection and use of personal data that contribute to enhancing the functionality and content on the website.

Scope

This policy applies to AU website only. Websites not within ".ajman.ac.ae" domain are considered external sites, and therefore not covered by this policy.

Policy

Collection of Information

Upon visiting AU website, the servers automatically record information of the website user's browser, such as the device's IP address, requested URL, referring URL, language preferences, access dates and times, software information (e.g. browser type and version, operating system type and version, etc.), Internet access domain name, and other statistics.

In using specific features, such as web forms, on AU website, the user may be asked to provide certain personal information, such as name, address, and email address, that may be needed to respond to future inquiries, or subscribe the user to updates. In other words, the provided information will be used only to fulfill user's request(s), and to allow AU to contact the website user if there are any problems with the user's request. AU will not share, sell or exchange website user's email address and other provided personal information to third parties.

Cookies

Cookies are short text files that are stored on the website user's computer and used to recognize browser session, save preferences, and analyze site traffic and site interaction. AU website uses cookies as well as Google Analytics that gathers anonymous statistics related to the website user's browsing behavior to optimize online experience. The website user may disable cookies through the individual browser options, however, this may result in reducing certain functionality and features of AU website, and diminishing your site experience.

Information Protection

AU may use and analyze the collected information to improve its services. AU stores website user's personal information on secure servers and in an encrypted format, and uses technical and organizational security measures to protect them from misuse, loss, alteration or any unauthorized access. Data collected will not be provided to third parties. However, no method of transmission over the Internet or electronic storage can be guaranteed to be 100% secure. Therefore, while AU strive to protect website user's personal information,

the website user acknowledges that there are privacy and security limitations of the Internet which are out of AU's control.

AU website may contain links to third-party sites. AU does not have control over the privacy practices or the content of these websites. Please review the privacy policies published by these third-party websites.

Policy Acceptance

The website user acknowledges the reading of this Policy and agrees to all its terms and conditions. By continuing to use this website, the website users are consenting to AU's collection and use of information in accordance with this Privacy Policy.

Additional Information

If a website user has any queries about the above Privacy Policy and would like to contact an AU representative regarding any matter relating to the privacy of personal information, may send an email to "inquiry@ajman.ac.ae".

Release from liability

The user releases and forever discharges Ajman University and its affiliates, successors, officers, workers, representatives, partners, agents and anyone claiming through them (collectively, the "Released Parties"), from all claims, liability, damages, losses and expenses, including attorney's fees, howsoever the same maybe caused by any reason whatsoever arising or alleged to have arisen directly or indirectly out of the use of the .ajman.ac.ae, or using of his/her information or personal data according to this Policy.

Miscellaneous

- This Policy supersedes any other old related Policies, Procedures, Minutes of the Meeting, Manuals, Handbooks, and Bylaws. The Vice Chancellor for Communication and Community Affairs is responsible for handling any issues that might arise and are not covered in this Policy, and raise recommendations for the Chancellor's final discretion.
- In case of conflict between the Arabic and English versions of the Policy, the English one prevails.
- Any exceptions to this policy must be well justified, proposed by the Vice Chancellor for Communication and Community Affairs and escalated to the Chancellor for a final decision.
- Ajman University reserves the right to make changes to its Policies at any time and for any reason. The updated Policy will be deemed to have been delivered, received, and known by all website users one day after posting the updated Policy on the website. The users shall comply with the updated Policy since its effective date.

Effective date

This policy shall be in effect as of 13th October, 2021.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	30/08/2021	New Policy	Manager of Office of Marketing and Communication

AU Fundraising Policy and Guidelines

Policy Owner	Executive Director of Office of Development and Alumni Affairs	Responsible Office	Office of Development
Approved By	Chancellor	Effective Date	Jul. 2021
		Next Review Date	Jul. 2024

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 and sustainable 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.

Executive Director

The Office of the Development and Alumni Affairs 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 Executive Director.

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 department works under the Office of Development and Alumni Affairs to maintain a network corporate partners, students, alumni, friends, parents and other individuals or groups for the purpose of obtaining endowed 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 committee 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, Fundraising committee team members 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, the Office of Development staff members and Fundraising committee team members 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

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 activities should filter through the Office of Development or Fundraising and Development Committee, 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 and Development Committee Members.

Fundraising and Development Committee

Fundraising and Development Committee members 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 fundraising and development committee team members make direct approaches to donors. In fact, all fundraising activities should filter through the Office of Development, as appropriate for each drive/initiative.

Members of the fundraising and development committee can be requested to attend special meetings.

Thamer Fund

Thamer Fund may act as a suspense account for all money raised through fundraising drives. Thamer Fund Committee oversees 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 responsibilities, 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. 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 relevant stakeholders. It is incumbent upon all members of the AU community, including the Cabinet, Board of Trustees and Fundraising Committee members, 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 binding and donors sometimes 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 in order for the naming privilege to be granted.

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 300,000. The amount will be invested in either Ajman Bank or any other bank in order to generate an annual income that will contribute to required annual tuition fees for the named scholarship. In addition, The University undertakes to match the generated annual income raised from the bank in order to guarantee that total annual income raised will cover the tuition fees of the in-need students who matches the selection criteria. Scholarship funds can be in honor of living individuals or in memory of departed ones.

The University will guarantee this scholarship for in perpetuity. The donor has the option to pay the fund in installment over 5 years maximum. However, the students will start benefiting from the scholarship after fund payment is complete.

Named Endowed Professorships

A named endowed professorship fund can be established and named after the donor subject to a minimum gift of AED 2 Million. The amount will be invested in either Ajman Bank or Any other bank in order to generate an annual income that covers the required annual cost of a research, conferences' expenses and equipment conducted by full-time faculty member (in the College, discipline and sub-specialization specified by the donor, if any). Selected professor will cover this task for 2 years renewable based on donor choice.

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 in perpetuity. The donor has the option to pay the fund in installment over 5 years maximum.

Naming Rights for University's Colleges

Naming rights for university colleges can establish and named after the donor subject to, or in honor of any individual/group chosen by the donor. Donors benefit from a unique chance to link their name with a large field of study at a prestigious institution. Donors have the option for naming rights of the:

College Name	Naming Price
College of Architecture, Art and Design	AED 20 Million
College of Business Administration	AED 20 Million
College of Dentistry	AED 40 Million
College of Engineering and Information Technology	AED 25 Million
College of Humanities and Sciences	AED 20 Million
College of Law	AED 20 Million
College of Mass Communication	AED 20 Million
College of Medicine	AED 40 Million
College of Pharmacy and Health Sciences	AED 30 Million

The amount will be invested in either Ajman Bank or Any other bank in order to generate an annual income that will contribute to required expenses of the college programs. Naming rights can be in honor of living individuals or in memory of departed ones.

The University will guarantee this naming rights for in perpetuity. The donor has the option to pay the fund in installment over 5 years maximum.

Naming Rights for University's Buildings

Naming rights for university's buildings can establish and named after the donor subject to, or in honor of any individual/group chosen by the donor. Donors benefit from a unique chance to link their name with a prestigious building in the institution. Donors have the option for naming rights of the:

Building	Naming Price
J1 Academic Building*	AED 15 Million
J2 Academic Building *	AED 15 Million
Student Hub*	AED 15 Million
Sport Complex*	AED 5 Million

*Facilities inside the building are not included can be named with different naming. For naming of facilities inside the building like Labs, classrooms and others, pricing will be provided on need basis.

The amount will be invested in either Ajman Bank or Any other bank in order to generate an annual income that will contribute to required expenses of the building and its maintenance. Naming rights can be in honor of living individuals or in memory of departed ones.

The University will guarantee this naming rights for in perpetuity. The donor has the option to pay the fund in installment over 5 years maximum.

Naming Rights for University's Research Center

Naming rights for a university research center can be established and named after the donor subject to a minimum gift of AED 10 Million. The amount will be invested in either Ajman Bank or Any other bank in order to generate an annual income that covers the required annual cost of a research center, conferences' expenses and equipment conducted by full-time faculty member (in the College, discipline and sub-specialization specified by the donor, if any).

Research Center can be named after the donor or any individual or group the donor wishes the research center to bear the name of.

The University will guarantee this research center for in perpetuity. The donor has the option to pay the fund in installment over 5 years maximum.

Naming Rights for Ajman University Innovation Center (AUIC)

Naming rights for Ajman University Innovation Center (AUIC) can be established and named after the donor subject to a minimum gift of AED 4 Million. The amount will be invested in either Ajman Bank or Any other bank in order to generate an annual income that covers the required annual cost of the center.

Innovation Center can be named after the donor or any individual or group the donor wishes the innovation center to bear the name of.

The University will guarantee this innovation center for in perpetuity. The donor has the option to pay the fund in installment over 5 years maximum.

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

Generous donors who contribute to the above Endowments will be recognized and acknowledged by Ajman University. Parts of this exclusive recognition program are the following:

Official Signing Ceremony of the named endowed scholarship/professorship
Acknowledgment of contribution in a press release and subsequent references to the donor in line with press mentions of the endowment
Invitation to a special Donors' Dinner hosted by BoT members
VVIP invitation to the AU Annual Dinner
Prominent recognition at the next commencement ceremony
Invitation to commencement ceremonies, with reserved seating
Recognition in the next Annual Report

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, Donor Bill of Rights, as follows:

Donors have the right:

- 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.
- To be assured their gifts will be used for the purposes for which they were given.
- To receive appropriate acknowledgement and recognition.
- To be assured that information about their donation is handled with respect and with confidentiality, as per any prior agreement.

- To expect that all relationships with individuals representing AU with the donor will be professional.
- To have the opportunity for their names to be deleted from shared databases.
- 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.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	11/10/2017	Initial policy draft	Development Director
V 1.1	07/02/2018	Final Approved Policy	VCAC
V1.2	05/09/2021	General updates	Executive Director, Office of Development and Alumni Affairs

11. Community Engagement



جامعة عجمان
AJMAN UNIVERSITY

Community Engagement Policy

Policy Owner	Community Engagement Manager	Responsible Office	Office of Community Engagement
Approved By	Chancellor	Effective Date	Jun. 2021
		Next Review Date	Jun. 2024

Purpose

Ajman University, consistent with its mission and strategic goal on “Building impactful and long-lasting ties with the external communities” develop and maintain relationships with external stakeholders. 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	Community Engagement Manager
V1.2	16/03/2021	Reviewed and no changes needed	Community Engagement Manager
V 1.3	16/06/2021	Minor change-Incorporated the mission and strategic goal relevant to community engagement	Community Engagement Manager

Employees Volunteering Policy

Policy Owner	Vice Chancellor for Communication and Community Affairs	Responsible Office	Office of Community Engagement
Approved By	Chancellor	Effective Date	Aug. 2021
		Next Review Date	Aug. 2024

Purpose

This policy defines the terms of reference and procedures for voluntary works of Ajman University employees. Moreover, the objective of this policy is to raise awareness about social responsibility and create a culture of volunteerism by promoting and regulating community support activities.

Scope

This policy applies to all AU faculty, staff, and academic support staff members who are employed on a permanent full-time basis by the University.

Definitions

Voluntary work: any efforts exerted by an employee, without expecting any kind of compensation, for common good.

Employee: any full-time permanent employee at Ajman University.

Volunteer leave (VL): a day off from regular working days outside the campus.

Statement

Social responsibility and community support are embedded in the core values and mission of Ajman University (AU). In 2019, AU achieved the coveted 5-star rating in the category of social responsibility in the QS World University Rankings, which demonstrate AU's commitment towards this matter. In an effort to strengthen AU's standards in community engagement, the University is keen to provide voluntary opportunities for its employees that have a direct positive impact on the UAE community as a whole. This policy aims to encourage AU employees to participate in volunteering activities with recognized charitable and community organizations.

AU will offer full-time permanent employees who wish to volunteer two (2) days per academic year as a paid Volunteer Leave (VL). It is noteworthy that this leave does not accumulate from year to year. If the days are not taken, they are forfeited. Under any circumstances, employees will not be paid for the unused leave upon termination or end of contract.

General Terms and Procedures:

1. AU will grant employees two days of paid Volunteer Leave to participate in volunteering activities. The leave is subject to the approval of the line manager.
2. Employees must apply in advance for Volunteer Leave through the HR system.

3. The leave request must be approved by the line manager who has the discretion to reject it based on reasonable business grounds.
4. AU has the discretion to reject the Volunteer Leave request for different reasons including, but not limited to:
 - 4.1 The nature of the voluntary work. For example, if the voluntary work is risky or might expose the employee to any kind of danger, the leave request will be automatically rejected.
 - 4.2 The ineligibility of the employee. For instance, if the voluntary work requires specific skills (legal, professional, etc.) or a permit issued by the concerned authority that the employee doesn't have, the leave request will be automatically rejected.
 - 4.3 The breach of law. For example, if the voluntary work directly or indirectly contradicts with any UAE applied federal or local laws and regulations, the leave request will be automatically rejected.
5. Employees who have obtained approval for Volunteer Leave should provide the Office of HR with a solid proof of the work done through any of the following means:
 - 5.1 Official email from the organization.
 - 5.2 An official "to whom it may concern letter" from the organization which holds the voluntary event.
6. The voluntary activities are totally unrelated to the employee's regular duties.
7. The Volunteer Leave is not considered as labor receivables, rights, dues or whatsoever, under any circumstances. AU has no such responsibility towards any claim, demand, request which might be raised by any voluntary employee.

Breaches

1. A breach of the above-mentioned terms may lead to legal actions.
2. Employees who fail to provide a concrete proof of their voluntary work as per the General Terms and Procedures, item 5, would be considered as a breach of this policy. Their voluntary leave request will consequently be considered null.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	09/08/2021	New Policy	Head of Community Service

Lifelong Learning Access Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 2024

Purpose

This policy ensures that lifelong learning opportunities are provided without any discrimination and irrespective of ethnicity, religion, disability, immigration status, gender or other such considerations.

Scope

This policy is applicable to AU students, alumni, employees, and the external community.

Statement

AU appreciates the competitive job market and is aware that formal education credentials are not the only way to recognize and develop talent and that lifelong learning is an essential requirement for continuous development. Correspondingly, AU ensures that lifelong learning services and activities are provided and appropriately supported. These lifelong learning services and activities are provided and organized by several offices, namely the Continuing Education Center, Office of Career Services, Office of Community Engagement, Teaching and Learning Center and the Office of Human Resources. In accordance with the lifelong learning access policy of AU, these offices ensure that no students, alumni, employees, and members of the external community are deprived of lifelong learning opportunities on the basis of ethnicity, religion, disability, immigration status gender or other such considerations.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	03/07/2017	Initial policy	Office of Career and Placement Services
V 2.0	27/05/2021	The policy has been updated to also include the lifelong learning services offered by other offices.	Office of Vice-Chancellor for Academic Affairs

College Advisory Boards Policy

Policy Owner	Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Oct. 2021
		Next Review Date	Oct. 2024

Preamble

Integral to Ajman University's (AU) commitment to excellence is the development of well-rounded graduates who are professionally competent, socially responsible, and active contributors to the development of their communities in the UAE and abroad. Therefore, AU recognizes the value and importance of involving professional and community stakeholders from appropriate fields to achieve program relevance and best-practice education standards. To support this effort, we have drafted the College Advisory Boards Policy, which includes the responsibilities of the Boards, the membership and the terms of reference.

Scope

This Policy applies to all AU Colleges.

Objective

The primary objective of this Policy is to establish the foundations of an active professional advisory board for each college and to provide a clear picture of its role to successfully contribute to the strategic development of each college.

Policy and Procedures

The College Advisory Board seeks to build and maintain a vital connection with the community, and ensure our colleges and academic programs are kept up to date with real-world issues and industry trends. This ongoing engagement contributes to the enhancement of the strategic directions of AU colleges.

Responsibilities

The College Advisory Board shall perform the following responsibilities:

- Provide support and recommendations on priorities, directions, and latest trends in academic programs, scientific research and outreach.
- Develop clear strategies that help colleges achieve their ultimate goals.
- Provide advice and recommendations to ensure that the programs address the employment and educational needs of the labor market.
- Develop and implement strategies to build institutional partnerships and maintain strong connections with the community.
- Contribute to enhancing AU image as a leading university in the Arab region.
- Provide feedback on the career journey and status of alumni in the labor market.
- Suggest strategies to enhance the colleges' programs and tailor them according to the needs of the UAE in general, and the Emirate of Ajman, in particular.
- Connect our students and graduates with different public and private sector to offer them internships, trainings, research and job opportunities.

- i) Identify and assist in the receipt of external funding for colleges' initiatives, programs and research.
- j) Provide support in important issues when deemed appropriate by the Vice Chancellor for Academic Affairs (VCAA) or the Dean of the College.

Membership

The College Advisory Board shall reflect a diversity of perspectives. Therefore, it shall be composed of professional leaders, distinguished academicians, prominent alumni and community figures from different backgrounds. The suggested number of the Board members is at least eight, including the Dean of the College.

Terms

The Dean of each college shall identify potential Advisory Board members in coordination with the faculty, and they shall serve for two-year terms, renewable thereafter. The Dean shall submit the names of the potential Board members to the VCAA for review, who shares them afterwards with the Chancellor. Upon the approval on the names of the candidates, the latter shall issue a decree to form the Advisory Board.

Meetings

The Advisory Board shall meet on at least a bi-annual basis, preferably at least once per semester (in Fall and Spring). Additional meetings may be held when deemed appropriate by the VCAA, the Deans or the Board members themselves.

Officers of the Board

Officers of the Advisory Board shall be comprised of two Board members - a Chairperson, a Vice-Chairperson, in addition to a Secretary from the College. The Chairperson and Vice-Chairperson shall be appointed by the Chancellor based on the Deans' recommendations and input, whereas the Secretary shall be nominated by the Deans. The Officers of the Board shall be appointed for two-year terms, renewable thereafter.

Duties of the Officers

Chairperson

The Chairperson of the Board shall perform a leadership role by serving as the executive head, and assisting the Board with important recommendations, information and data to implement its activities. The Chairperson shall also preside over all the meetings, with exclusive power to organize them and approve the meeting agenda.

Vice-Chairperson

The Vice-Chairperson shall assist the Chairperson in their duties and responsibilities and act as presiding officer in the absence of the Chairperson.

Secretary

The Secretary shall be responsible for taking accurate and action-based meeting minutes, promptly disseminating them to all the members, and ensuring clear and effective communications relating to the duties and responsibilities of the Board. The Secretary shall also receive proposals for agenda items from the Board members and present to the Chairperson.

Quorum

A quorum for the Advisory Board meeting shall consist of at least half the Board members including the Chairperson or Vice-Chairperson attending.

Recommendations of the Board

The Board shall act in an advisory capacity. The Deans shall be responsible for the implementation of the recommendations in consonance with the strategic goals and vision of the College and AU at large.

Effectiveness of the Board

The Dean shall be responsible to prepare an annual report on the effectiveness of the Advisory Board and identify the measures needed for continuous improvement.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	20/10/2021	New Policy	Office of VCAA

Honorary Doctorate Degree Policy

Policy Owner	Office of the Chancellor	Responsible Office	Office of the Chancellor
Approved By	Chancellor	Effective Date	Jul. 2021
		Next Review Date	Jul. 2024

Purpose

Ajman University (AU), consistent with its mission and values, develops and maintains strong relationships with external community, makes contributions for the betterment of the society, and recognizes those individuals who shares the same values. Accordingly, the award of Honorary Doctorate Degree aims to provide an opportunity for AU to recognize individuals with extraordinary accomplishments and outstanding contributions and service to community.

Scope

This policy applies to the award of Honorary Doctorate Degree to individuals or organizations within or outside the UAE.

Policy Statement

The Chancellor of Ajman University has formed a Committee for Honorary Doctorate Degrees (herein after referred to as the Committee) with a mandate to develop and oversee the process of awarding honorary doctorate degrees to individuals who have been nominated and selected in line with the criteria and procedures of this policy document.

Nominations can be received from individuals or organizations within or outside the UAE. In both cases, there is a rigorous process guided by well-defined criteria to review the submitted nominations. The Committee, after seeking the input of the degree-awarding college and the Vice Chancellor for Academic Affairs, will submit its recommendation to the Chancellor for awarding the Honorary Doctorate Degree. Once approved by the Chancellor, the endorsement of the Board of Trustees shall be obtained.

Every nomination shall be accompanied by the following information: name, nationality, and address of nominee; career summary; education; awards received; justification for recommending award of honorary doctorate; and evidence of suitability for the award. In addition to this essential information, each application should be supported by relevant documents including curriculum vitae, media reports, news, and other similar resources.

1. Criteria

There are two main criteria for recommending a nominee for the award of an Honorary Doctorate Degree:

1.1 Extraordinary Accomplishments

This is the principal criterion which determines the selection for an honorary doctorate degree. The Committee and the concerned college shall look at the level of excellence and exceptionality of individuals who will be nominated and awarded the honorary doctorate degree. AU is seeking to recognize individuals who have made profound contributions in their area of expertise leading to significant benefit to the society within the UAE or beyond, nationally or internationally. AU aims to honor individuals who have accomplished

extraordinary targets and goals and those who have contributed exceptionally to scholarship, culture, human understanding and welfare, leading to inspiration for other people to achieve their career goals.

1.2 Service to Community

The Committee and the concerned college will look at outstanding contributions or services provided by individuals to their communities. AU considers those who made significant and sustained contribution to the public service nationally and/or internationally.

2. Procedure

2.1 Nomination

Two different tracks are considered for nomination; Nomination by the Cabinet and Nomination by Individual Sponsors or Organizations.

2.1.1. Nomination by the Cabinet

The Cabinet may nominate a candidate for the consideration of the award of honorary doctorate. Such a nomination may originate from a variety of sources such as a faculty member, Head of Department, Dean, a staff member or a Manager. The nomination shall be submitted to the concerned Cabinet member by the Dean or Manager using the specified *Nomination Form*, at least eight months prior to the next graduation ceremony as announced in the University calendar. The Cabinet member may recommend the nomination using the *Nomination Review Form* to the Chancellor for his approval to initiate the process. The Cabinet member may also directly submit a nomination to the Chancellor for his approval to initiate the process.

The Committee, upon receiving the nomination from the Chancellor, shall ask the candidate to submit the *Award Application Form*, along with all required supporting documents at least six months prior to the next graduation ceremony as announced in the University calendar.

The Committee shall thoroughly scrutinize the application, ask for additional information or documents, if so needed, and submit the complete case to the Dean of the college that shall award the honorary doctorate degree. The Dean shall present the application to the next College Council meeting for detailed review and discussion. The decision of the College Council, along with the Minutes of Meeting, shall be submitted by the Dean to the Vice Chancellor for Academic Affairs (VCAA). The VCAA shall review the recommendation of the College Council and provide his own recommendation to the Committee. Considering the inputs received from the College and the VCAA, the Committee shall make its final recommendation using the *Application Review Form* to the Chancellor giving justification for supporting or rejecting the nomination. The approval or rejection decision shall be made by the Chancellor. Once the nomination is approved by the Chancellor, it shall be submitted for endorsement by the Board of Trustees.

2.1.2. Nomination by Individual Sponsor or Organization

Any individual sponsor or organization can submit a nomination for the award of the honorary doctorate degree. The nomination shall be made by completing the specified *Nomination Form* and submitting it to the relevant Dean (College of Business Administration or College of Law) at least eight months prior to the next graduation ceremony as announced in the University calendar. The Dean shall review the *Nomination Form* and submit his recommendation, of approving or rejecting the initial nomination, to the Committee giving detailed reasons for his decision by using the *Nomination Review Form*.

The Committee shall thoroughly scrutinize the nomination received from the Dean, ask for additional information and documents from the Nominator, if so needed, and submit its findings to the Chancellor. If the Chancellor approves further processing for the nominated candidate, the Committee will ask the

candidate to submit the *Application Form*, along with all required supporting documents at least six months prior to the next graduation ceremony as announced in the University calendar.

The Committee shall thoroughly scrutinize the application, ask for additional information or documents, if so needed, and submit the complete case to the Dean of the College that shall award the honorary doctorate degree. The Dean shall present the application to the next College Council meeting for detailed review and discussion. The decision of the College Council, along with the Minutes of Meeting, shall be submitted by the Dean to the Vice Chancellor for Academic Affairs (VCAA). The VCAA shall review the recommendation of the College Council and provide his own recommendation to the Committee. Considering the inputs received from the College and the VCAA, the Committee shall make its final recommendation to the Chancellor giving justification for supporting or rejecting the nomination using the *Application Review Form*. The approval or rejection decision shall be made by the Chancellor. Once the nomination is approved by the Chancellor, it shall be submitted for endorsement by the Board of Trustees.

2.2 Informing the CAA

The Standards 2019 requires that: Institutions inform the CAA of any intent to award an honorary doctorate, and supply the justification of the award for the recipient.

After the approval of the Chancellor and the Board of Trustees, the Committee will submit a formal report to the CAA to inform AU's intent to award the honorary doctorate to the selected recipient and provide detailed justification for the award. After receiving written acknowledgement from the CAA, the Chancellor will officially inform the candidate on his/her selection for the award of honorary doctorate degree by Ajman University. Unsuccessful candidates will be informed by the Committee.

2.3 Text for the Award

One month prior to the graduation ceremony, the Committee, in consultation with the concerned College, shall prepare a draft of the text for the award of Honorary Doctorate Degree and obtain its approval from the Chancellor.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	22/07/2021	Initial policy	Office Institutional Planning and Effectiveness

PPM Amendments Record

Note: Details of policy changes are documented in each policy's document history.

No.	Document	Date	Changes
1	Policy & Procedure Manual Vol. 1	Sep. 2017	On page 132 under the title "IT Risks" in clause 13.2.2 (a) point number 4, where the mentioning of Fujairah Campus was deleted. Consequently, the page needs to be printed and replaced in the hard copy version
2	Policies & Procedure Manual – vol. 2	Sep. 2017	where changes were introduced to the table on page 76 concerning tuition fees for bachelor's programs
		Oct. 2017	Changes were made to the Table 2 (Class size for graduate programs) on page 45 of AU policy & Procedure Manual vol.2, where two programs were added (MSc. In Urban Design & Professional Diploma in Teaching).
		Nov. 2017	A modification request was made by Dr. Mahmoud and Mr. Essam with regards to a small change required to "AU Student Record Policy" in clause 8.2 on page 83 of the Policy & Procedure Manual Vol. 2.
3	Policies and Procedures Manual Vol. 2	Mar. 2018	Inclusion of "Advance Standing and PLAR" policies



4	Policies and Procedures Manual 2020-2021 <i>N.B. Individual policy change(s) is documented in each policy footer, Document History.</i>	Oct. 2020 - May 2021	Revised Policy on Policies Revised Graduate Completion Policy Revised Student Disciplinary and Academic Integrity Policy Revised Policies and Procedures for Online Learning and Assessment Revised Class Size Policy New Minimum Class Size Policy New Research Policy New Research Strategy Policy New Research Publications Reward Policy New Research Conferences Policy New Visiting Scholar Policy New AU Authorship Policy Revised Employment Policy Revised Faculty Promotion Policy Revised Transfer Admission Policy Revised Student Disciplinary and Academic Integrity Policy Revised Undergraduate Completion Policy Revised Faculty Workload Policy New Academic Freedom Policy New Policy and Procedure on Surveys Revised Budget Policy New Adoption of Accrediting Agencies Policies and Procedures Revised Course File Policy New Policy Statement on Diversity and Inclusivity New Credit Hour Policy New Dual Credit Program New Policies and Procedures for Online Learning and Assessment New Policy on Double Marking and Moderation Revised Budget Policy Revised Research Policies Revised Student Information Release Policy Revised Student Records Policy Revised Transfer Admission Policy Revised Intellectual Property Policy Revised Employment Policy New Handling of Faculty and Professional Staff Employment Legal Issues Policy Revised Independent Study Revised Performance Evaluation Policy New Smoking Policy New Policy on College and Department Councils New Program Specification Policy New Program Phase-out Policy New Student Study Mode and Load Policy New Policy on Faculty Participation in Planning and Budgeting Revised Academic Progress Policy Revised Research Article Publication Fee Policy

5	Policies and Procedures Manual 2021-2022	June 2021 – April 2022	New Board of Trustees Conflict of Interest Policy New Faculty Exchange and Sabbatical Leave Policy New Thesis and Dissertation Support Policy New Teach-out Policy – replaced the “Program Phase-out Policy” New Students of Determination Policy New Cooperative Agreements and Contractual Relationships Policy New University Cabinet Policy-extracted from the BOT Policy New Institutional Documents Revision, Approval and Archiving Policy New Course Syllabus New Student Wellbeing and Safety Policy New Policy on Raising Concerns of Safety New Student Safeguarding Policy New Course Buyout Policy New Course Substitution Policy New Privacy Policy New Cooperative Agreements and Contractual Relationships Policy New Employees Volunteering Policy New Degree Audit and Graduation Policy New College Advisory Boards Policy New Honorary Doctorate Degree Revised Board of Trustees Policy Revised Policy on Faculty Members Participation in Planning and Budgeting Revised Operations Risk Management Policy- formerly titled “Risk Management Policy” Revised DRGS Vision, Research Strategy and General Provisions Revised Conflict of Interest Policy – Faculty and Staff Revised Employment Policy Revised Faculty Promotion Policy Revised Scholarships and Discounts Policy Revised Hostel Policy- formerly titled “Residence Halls Policy” Revised Health Services Policy Revised Fundraising Policy Revised Quality Assurance Policy Revised Auxiliary Enterprise Policy Revised Cash Management Policy Revised External Audit Policy Revised Procurement and Stores Policy and Procedures- Revised Compensation Policy Revised Course Syllabus policy Revised Student Complaints Policy Revised Staff Disciplinary Policy Revised Code of Conduct Policy Revised Counselling Policy – formerly titled “Students Counseling Policy” . This policy now include counseling services for faculty and staff. Revised Standing Committees Revised Faculty Performance Evaluation Policy New Sustainable Investment Policy New Adjunct Faculty Performance Evaluation Policy Revised Substantive Change Policy
6	Policies and Procedures Manual 2022-2023	July-August 2022	Vehicle Acquisition Policy Revised Teach-out Policy Revised Academic Advising Policy



		February- March 2023	New Policies: Grade Entry Policy Collective Ownership of Curriculum Student Teaching and Administrative Assistants Policy Revised Policies: Academic Probation Policy Academic Progress Policy Student Information Release Undergraduate Admission Policy Student Study Mode and Load Policy Student Success Center Policy Student Grade Appeal Policy People of Determination - previously titled Student of Determination Graduate Assistant (GA) Policy Faculty Promotion Policy Faculty Workload Policy Credit Hour Policy Faculty and Professional Staff Employment Legal Issues Policy Retired Policy: Student Career Advancement Program Policy – All student-related hiring are now covered in the new policy, Student Teaching and Administrative Assistants Policy.

Board of Trustees Approval

1. BoT Minutes of Meeting 23 September 2021
2. BoT Minutes of Meeting 10 May 2022