



جامعة عجمان
AJMAN UNIVERSITY

POLICIES AND PROCEDURES MANUAL 2020-2021



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1. Governance and Management



جامعة عجمان
AJMAN UNIVERSITY

AU Mission, Vision and Values

Mission Statement

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

Vision Statement

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

Core Values

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

Institutional Goals

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

Objectives:

- 1.1 Meet international accreditation and/or quality assurance guidelines for all existing academic programs
- 1.2 Complete benchmarking of all programs and colleges with two peer and one aspirant institution.
- 1.3 Establish a Teaching and Learning Center to promote students' learning
- 1.4 Achieve student-to-faculty ratio of less than 20 at the University level
- 1.5 Increase first-year retention rate of students by 10% over next three years
- 1.6 Increase on-time graduation rate by 10% over next three years.

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

Objectives:

- 2.1 Attract high-caliber faculty with very promising research agendas
- 2.2 Achieve an annual increase of at least 50% in the number of Scopus-indexed publications for the next three years
- 2.3 Increase the number of citations in Scopus publications by 25% over the next three years
- 2.4 Provide concrete incentives and opportunities for faculty to conduct high-quality research
- 2.5 Establish at least two Research Groups in each College and support them with full-time Research Assistants
- 2.6 Increase the number of impactful publications in collaboration with international faculty from other countries.

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

Objectives:

- 3.1 Set up a professional marketing team for developing and implementing a focused, targeted recruitment plan to increase the intake and diversity of students
- 3.2 Increase the number of non-Arab students by 10% in three years
- 3.3 Increase the diversity of co- curricular activities and the participation of students in a full and rich student life program
- 3.4 Achieve at least 75% students' satisfaction rate with AU events and activities
- 3.5 Establish a Student Success Center for developing well-rounded students
- 3.6 Increase the employability rate of AU graduates by 5% in three years.

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

Objectives:

- 4.1 Achieve at least 10% improvement in QS Ranking in the Arab region
- 4.2 Maintain AU's global ranking to be among the top 1000 institutions in QS World Rankings
- 4.2 Achieve four and five star ratings in various QS Stars categories
- 4.3 Increase engagement of AU alumni in University activities
- 4.4 Increase by 10% the number of geographically diverse strategic partnerships with prominent universities.

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

Objectives:

- 5.1 Increase the number of AU's corporate ties with external community by at least 25%
- 5.2 Increase the number of community service activities by 10%
- 5.3 Expand the scope of Continuing Education Center (CEC) in providing training to the private and public sectors
- 5.4 Establish an Office of Development to seek external funds and resources.

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

Objectives:

- 6.1 Increase the number of smart and technology-based services
- 6.2 Achieve at least 70% paperless processes
- 6.3 Establish e-Procurement and e-Payment channels
- 6.4 Achieve at least 90% on-time (48 hours) resolutions of students' complaints.

Document History

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

Board of Trustees Policy

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

Definitions

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

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

Statement

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

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

The effectiveness of the Board of trustees is mirrored from the assessment of:

- Financial stability of the University, and the distribution of AU expenses.
- Degree of achievement of AU objectives as specified in the operational plan.
- Functionality of the approved academic and administrative policies after their first year implementation.
- Success of AU Alumni in the Society.
- Reputation of AU in the eyes of applicants, employers, students, staff and faculty.
- Environment offered to its students, faculty, and non -academic staff.
- Solidity of the University Risk Management plans.
- Quality of AU Faculty.

- Non-interference of the owners on the daily management of the University.
- Availability of the financial resources needed to the implementation of the University objectives.
- The assessment must be made on a two-year period.
- AU Office of Institutional Planning and Effectiveness (OIPE) is requested to develop the methodology to be used for assessing the above listed items.

Composition of the Board

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

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

Duties and Authorities of the Board of Trustees

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

The Board of Trustees shall be responsible for the following:

1. Appointing and assessing the University Chancellor.
2. Developing regulations, rules and policies consistent with the University mission.
3. Adopting and regularly reviewing the AU admission policy in light of local and international accreditation standards.
4. Approving the principles of education quality control in the University in coordination with the University Chancellor, and in consultation with national and international experts.
5. Adopting proposals for developing and updating the University Bylaws.
6. Adopting the list of the University graduates of each semester.
7. Improving performance in the University and setting evaluation basis and mechanisms.
8. Ratifying cooperation agreements concluded by the University with other universities, organizations, institutions, and any other entities operating within and outside the UAE.
9. Ratifying decisions to establish new colleges, academic departments, or offices to represent the University in the UAE or abroad.
10. Consolidating relations with public and private sector institutions, charities, and community development organizations.
11. Supporting intramural and extramural scientific research in collaboration with local and international institutions, in line with the objectives of higher education in the UAE.
12. Reviewing and deciding on the periodic reports submitted by the University Chancellor or requested by the Board regarding programs, activities and services of the University.
13. Securing the necessary financial resources to support the vision, mission, and strategic goals of the University.
14. Each year, approving the proposed budget of the University for the ensuring fiscal year as well as its strategic plan.

Authorities of the Chair of the Board

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

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

Delegating the Authorities of the Chair

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

Authorities of the Vice Chair of the Board

The Vice Chair of the Board shall undertake the following:

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

Delegating the Authorities of the Vice Chair

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

Authorities of the Secretary of the Board

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

1. Assisting the Chair and the Vice Chair of the Board of Trustees in following up the decisions and instructions issued by the Board; and ensuring their implementation in conformity with these Bylaws.
2. Preparing the agenda of the meetings of the Board of Trustees according to the instructions of the Chair or Vice Chair.

3. Preparing invitations for the meetings of the Board of Trustees according to the instructions of the Chair or Vice Chair.
4. Supervising the drafting of the minutes of the Board's meetings and sending copies to all Board's members.
5. Informing the Board of any suggestions relating to the development and amendment of the rules and regulations of the Board and the University.
6. Supervising the documentation and archiving work of all documents issued by the Board.

Meetings of the Board

1. **Regular meetings:** The Board of Trustees shall hold not less than one regular meeting per academic semester. The meeting shall be convened on invitation from the Chair or Vice Chair. The invitation and agenda of the meeting shall be sent to the Trustees at least fourteen days in advance.
2. **Special meetings:** Special meetings of the Board may be held at the call of the Board Chair or Vice Chair. The Board Secretary shall send written notice of such special meetings to all Trustees, along with a statement of the purpose of the meeting, at least 10 days in advance.
3. **Long distance attendance:** A Trustee may attend the Board meetings remotely. Such attendance shall be deemed valid and equivalent to a normal attendance.
4. **The agenda:** The Board Secretary shall prepare the agenda of the Board's meetings, in coordination with the Chair or Vice Chair. The agenda shall be adopted at the beginning of each meeting by approval of the majority of attendees. In case of parity, the vote of the Chair shall prevail.
5. **Minutes of meetings:** Each meeting of the Board shall be minuted. The minutes shall include the names of attending members, a summary of discussions and the decisions and recommendations taken. The minutes of meeting shall be signed by the meeting's Chair and the Board Secretary. A final signed copy shall be sent to each Trustee.
6. **Quorum:** A quorum for the conduct of business by the full Board shall consist of at least half the Trustees along with the Chair or Vice Chair attending. In the event a quorum is not established, the meeting shall be postponed by 30 days and the quorum for the following meeting shall be established with one third of Trustees along with an attending Chair or Vice Chair.

Decisions of the Board

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

Proposals for Decisions

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

Membership Duration

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

Appointment and Removal of Board Members

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

Committees

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

Committee for Academic Affairs

Duties and Responsibilities

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

The Committee shall undertake the following duties and responsibilities:

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

Membership

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

The Committee shall be convened on invitation by the head.

Committee for Administrative and Financial Affairs

Duties and Responsibilities

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

The Committee shall undertake the following duties and responsibilities:

1. Reviewing the University's annual budget and tuition fees and submitting them to the Board of Trustees for approval.

2. Overseeing the regulatory frame of the University policies for administrative affairs and recommending their approval.
3. Reviewing new construction projects and the implementation of capital improvements and recommending their approval.
4. Reviewing the strategies and targets of contract-related policies and recommending their approval.

Membership

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

The Committee shall be convened on invitation by the head.

Committee for Endowment and Investment Management

Duties and Responsibilities

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

The Committee shall undertake the following duties and responsibilities:

1. Collecting sufficient funds for the enhancement of the quality of the University activities that are not included in the budget.
2. Providing consultancy regarding endowments, the planning of long-term investments, and risk evaluation.
3. Providing a balanced investment frame for endowment targets and market investment opportunities.
4. Monitoring investment performance and measuring investment targets.

Membership

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

The Committee shall be convened on invitation by the head.

The Executive Committee

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

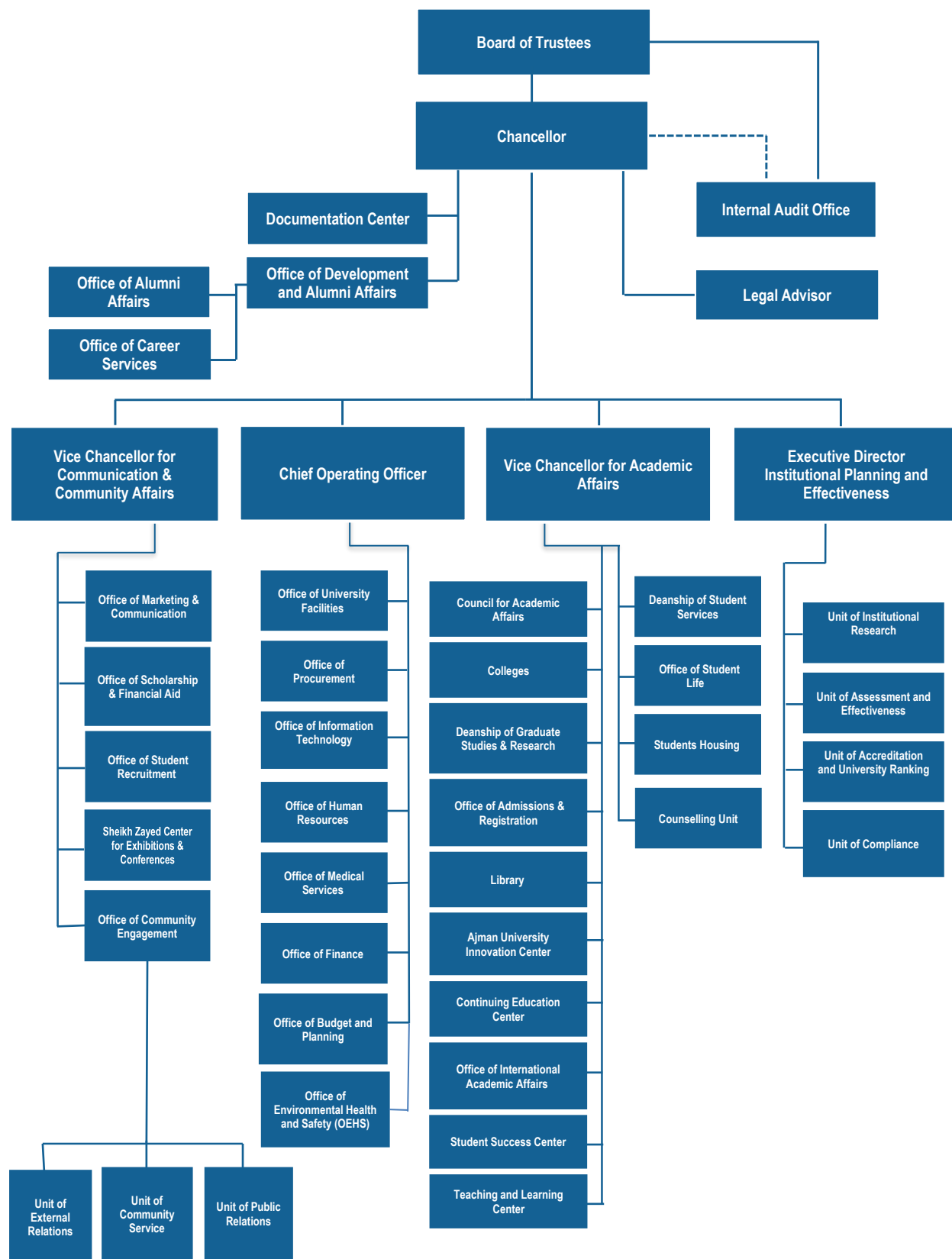
- H.H. Sheikh Rashid bin Humaid Al Nuaimi, Chairperson
- H.E. Sheikh Abdul Aziz bin Ali Al Nuaimi, Member
- H.E. Abdallah bin Humaid Al Mazroui, Member

University Cabinet

The University Cabinet is mandated to provide strategic advice on matters crucial to AU's mission, strategies, and operations. It also serves as a platform to ensure frequent and effective dialogue and information sharing

among Cabinet's members about AU key issues, strategic planning, future projects, and unexpected issues that might affect campus life. The cabinet also facilitates the achievement of the University's academic and administrative visions and strategic objectives. The Cabinet includes the Chancellor, the Vice-Chancellor for Academic Affairs, the Vice-Chancellor for 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.

Ajman University Organization Chart



The Chancellor

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

The Vice-Chancellor for Academic Affairs (VCAA)

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

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

The Vice-Chancellor for Communication and Community Affairs (VCCCA)

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

The 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 admin. Staff members, campus maintenance and development, risk management, and facilities operation.

Executive Director, OIPE

The Executive Director of OIPE is responsible for establishing a culture of evidence-based assessment, evaluation, and continuous improvement for all academic and non-academic units in the University. He oversees the Units of institutional research, institutional planning and effectiveness, accreditation and



University ranking, and quality assurance. The Executive Director also heads the Institutional Effectiveness Committee (IEC) that is tasked with implementing the assessment and evaluation processes at all levels in the University and ensuring continuous quality improvement. Reshuffle

Document History

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

Standing Committees

Policy Owner(s)	The Cabinet	Responsible Office	Office of the Chancellor
Approved By	Chancellor	Effective Date	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 Graduates Studies and Research (Member)
- Dean of Student Services (Member)
- The Registrar (Member)

Curricular and Study Plans Committee (CSPC)

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

Terms of Reference

- To review and make recommendations in matters related to promoting excellence in research and scholarly work;
- Foster a vibrant and stimulating research ecosystem at AU;
- Increase the number of faculty members publishing in peer-reviewed high-quality journals;
- In collaboration with colleges and departments, define research targets and extend support to achieve these targets;
- Develop and implement an effective internal funding mechanism to provide research grants to faculty in all colleges;
- Provide opportunities to faculty and graduate students to obtain external research grants and nurture partnerships with organizations and businesses;

- Encourage multidisciplinary research among various colleges and departments;
- Enhance the research culture at AU by organizing the annual Research Day and other activities including research awards for outstanding faculty and students;
- Assist colleges in organizing national and international scientific conferences;
- Assist and oversee the operation of College Research Committees in all colleges to promote and encourage multi-disciplinary research activities between colleges;
- Promote the culture of research at undergraduate level;

Membership

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

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.

Terms of Reference

- Monitor the implementation of the Strategic Plan.
- Prepare an annual report on the progress towards achieving the goals of the Strategic Plan.
- Perform a mid-term review of the Strategic Plan based on feedback from various stakeholders.
- Based on the effectiveness of the current Strategic Plan and feedback from various sources, make recommendations to the Cabinet regarding the next Strategic Plan.
- Recommend institutional priorities and plans to the Cabinet on an ongoing basis.
- Ensure that the annual budget allocations appropriately reflect the institutional plans and priorities as approved by the Cabinet.
- Seek the involvement of University community in the planning process.
- Prepare an annual assessment report on the effectiveness of IPC.

Membership

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

Council for Graduate Studies (CGS)

The Council for Graduate Studies has been established under the Deanship of Graduate Studies and Research (DGSR). The main purpose of the Council of Graduate Studies (CGS) is to 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 Graduate Studies and Research (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 Graduate Studies and Research (DGSR) 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 Graduate Studies and Research. The report includes the number of applications received, their classifications and final decisions.

Membership

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

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.

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.

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.

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.

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.

Personnel Affairs Committee

The committee's mandate is to assess and make recommendation on the requests submitted by staff members to change their status, promotion, salary increase, or any other matters that are not covered in HR policies.

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.

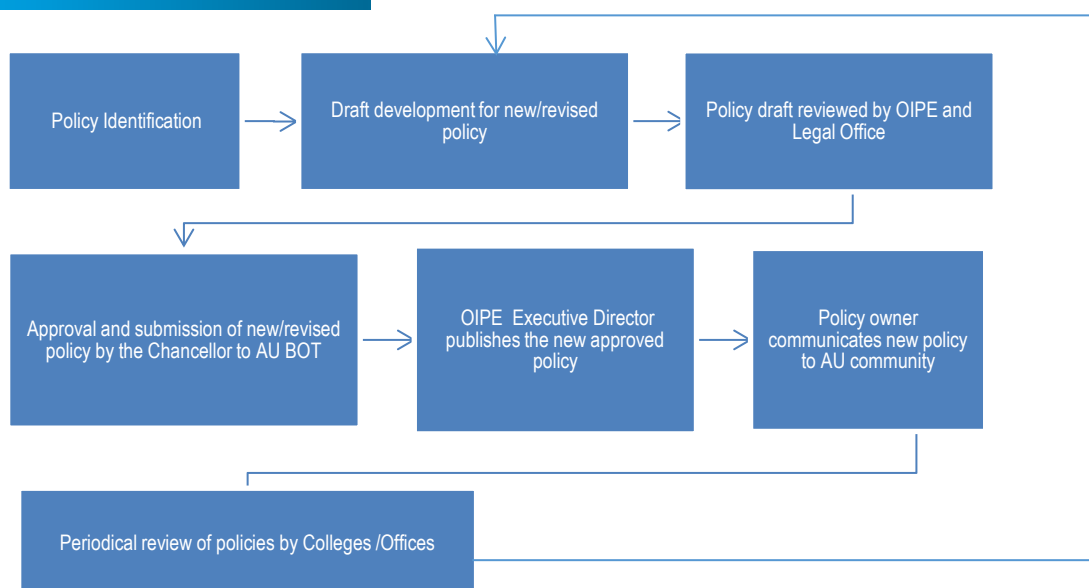
Procurement Committee

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.

Procedures for development, review, approval and publishing of policies

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



Flowchart for policy development, review, approval and publication.

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

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	March 2021
		Next Review Date	March 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	Jan. 2019
		Next Review Date	Jul. 2021

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

Purpose

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

Policy Statement

Ajman University'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 (ACISs) at the department levels. The roles and responsibilities of two co-chairs of the IEC members, for academic and non-academic units, as well as for Institutional Effectiveness (IE) Coordinators are given in details in the Quality Assurance Manual.

Budgeting and Resource Allocation

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

recommendations to the higher management concerning budgeting and resource allocation. The budget, once approved by the Cabinet, is presented to the Board of Trustees for its review and approval.

Evaluation and Effectiveness of Units

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

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy to identify internal mechanism and guide resources allocation	University Central Committee
V 2.0	2/01/2019	New Planning Policy with focus on 5 years strategic plan	Executive Director - OIPE
V 2.1	19/02/2020	Minor change in the Policy Statement – Frequency of review (4 years and mid-term)	Executive Director - OIPE

Risk Management Policy

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

Purpose

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

Statement

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

Academic Risk

Identification of Potential Risks:

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

Proactive Measures Plan:

- Implementation of AU quality assurance policies and procedures at different levels (course level, program level and college level) and reporting any related deficiencies to the higher levels.
- Adoption of continuous assessment and improvement strategies.
- Selection and retention of high quality faculty to satisfy the requirements of the program in terms of teaching and research.
- Implementation of proper academic advising system (counseling, coaching, advising), and follow-up of students' progression.
- Building long term relationship with the Ministry of Health, Health Authorities and Health Zones in the UAE.
- Establishing training agreements with more reputable hospitals in Ajman and neighboring emirates to expand the base of available clinical sites and create significant redundancy.



- Proper teaching load allocation to faculty in such a way that the faculty can carry his/her teaching, advising and research activities in a proper way.
- Proper timetabling of course offerings in such a way that students can attend lectures and other academic activities without delay or absence. This is especially important for working students who are tied-up with their work schedule.
- Organizing proper and informative orientation sessions for newly enrolled students to brief them about the requirements of progressing and completing the program.
- Monitoring students' academic progression and taking proper actions before student's performance reaches the critical level of probation.
- Providing appropriate learning resources (library, laboratories, IT... etc.) to facilitate students' access to program and support service related information.
- Preparing proper contingency plan in case any faculty member is unable to attend his/her scheduled academic activities for any reason (illness, emergency, conference, business travel, etc.) to ensure that the proper execution of approved program curriculum is continued.

Reactive Measures Plan:

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

Teach-out

Statement

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

Risk Mitigation Procedure

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

- Communicate with students the full details of the change taken by/ affected the University.
- Identify the potential accredited institutions offering similar program(s) to make the teach-out.

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

Internship and Clinical Training Risk Management

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

Statement

This policy acts as an outline that identifies the different sources of risks that can occur during internship of AU's students, which should be properly managed in order to avoid and/or prevent any negative impacts of such situations. This is done through identifying each risk source, its significance, evaluation methods, and adopting the best mitigation options. During the two years that constitute the clinical training phase of medical students, they might be exposed to risks related to working in a hospital environment. This policy is outlining the features and practices of internship at AU in order to reduce the associated risks.

Risk Identification

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

Risk Mitigation Methodology

- Students are advised to acquaint themselves with training site and the possible safety hazards.

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

Availability of Sustainable Training Locations

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

Financial Risk Management

Statement

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

Risk Identification

▪ Credit Risk

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

▪ Liquidity Risk

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

▪ Interest Rate Risk

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

- Accounts Receivable Risk

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

- Business Risk

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

Risk Evaluation and Mitigation Methodology

- Credit Risk

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

- Dealing with high credit quality financial institutions, in addition to conducting continuous review of the financial institution's credibility, considering the trade-off between the benefits obtained from dealing with certain financial institution and the credibility risk involved.
- Extra available funds are invested in short-term fixed deposits that do not exceed 1-year maturities and over several maturity dates carefully distributed across the year to ensure satisfying any urgent cash needs for operational requirements to avoid liquidating any of the deposits before the maturity date and thus losing the expected profit.
- The University's management is continuously evaluating its investment credit risk to ensure that the credit risk related to bank accounts lies within an acceptable range.

- Liquidity Risk

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

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

- Interest Rate Risk

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

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

■ Accounts Receivable Risk

The accounts receivable risk is mainly involved with amounts due from students, sponsors, tenants and other customers. The University mitigates the accounts receivable risk throughout:

- Continuous review of the aging of accounts receivable balances, identification of those old accounts with high probability not to be collected, setting strict internal controls and procedures, and seeking to reach to settlements with parties having accumulated old receivable balances.
- Tracking the amounts of bounced cheques, their value dates, and taking needful actions towards collecting such accumulated balances.
- In addition, the University should implement strict measures prior to accepting cheques as an option to settle due accounts receivable, throughout reducing their maturity periods to the minimum, and keeping an updated customer profiles to provide a readily available history of cheque collection, enabling to take informed credit facility decisions in the future.
- The University should continuously find sustainable funding sources throughout different fundraising activities that aim to provide financial assistance to help students having financial disabilities to settle their due balances, thereby mitigating the negative financial impact of default accounts.
- Setting credit limits for customers, students and sponsors, and continuously monitoring the overdue balances as well as the outstanding receivables. The credit limits should be reviewed on regular basis to avoid accumulation of large balances of accounts receivables.
- System controls should be also put in place to easily identify accumulated balances and alert the finance team to take necessary action towards collection.
- The collection of Post-Dated Cheques (PDC's) is done as a guarantee against the collection of outstanding receivables. However, accepting such PDC's should be subject to approvals in view of the credit history, with maturity dates that should not exceed a period of 6 months.
- Sufficient allowances for doubtful debt are taken as a reserve to face any future losses due to uncollectible accounts, thus ensuring the stability of financial performance. The management must ensure that such allowances are sufficient and provide reasonable coverage of doubtful debt to avoid material loss or fluctuation of the financial performance.

■ Business Risk

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

- The University's management should follow a continuous improvement approach as a methodology to mitigate such risks, throughout continued efforts that aim at improving the quality of academic programs; studying the dynamic market needs for new knowledge areas, and

introducing new academic programs that fulfill such needs and stimulates sustainable business growth.

- The planning and budgeting process also helps addressing the key business risks involved in different business activities, and the level of uncertainty that is inherent in the planning process. The annual budget preparation cycle illustrates how the University plans for the future and provides the optimal allocation of resources as needed to achieve AU's strategic goals and objectives.
- As part of the annual operating budget preparation cycle, and to account for the normal uncertainty with regards to emergency spending needs, a contingency fund should be created to provide necessary funding for any unplanned or emergency spending needs. The contingency fund should be estimated as a fixed percentage of the annual operating spending budget.
- An in-depth planning and financial feasibility of launching any new academic program or investing into other expansion projects must be conducted. By adopting such approach, the University will be able to expand its students' base and diversify the revenue generating activities while minimizing the business risks involved in such activities and being well-prepared for any potential financial surprises that may corrupt operational activities.
- To better manage the other risk factors inherent in operations, the University mitigates the negative impact of some potential events that rest outside the control of AU management, by enrolling into several insurance policies. These include:
 - **Fidelity Insurance Policy:**
To indemnify AU against any loss sustained by any act of fraudulent embezzlement or misappropriation of any employee who's dealing with cash amounts.
 - **Public Liability Insurance Policy:**
To indemnify AU against any loss due to the legal liability arising from running the business activities, where AU may become legally liable to pay for compensation in respect to accidental bodily injury to third parties or accidental loss or damage to third party's property.
 - **Money Insurance Policy:**
To indemnify AU against any loss of cash amounts and the cost of any related damage that is associated with any theft or attempted theft during the normal course of business activities.
 - **Property All Risks Insurance Policy:**
To indemnify AU against any loss caused by any incident or event that exposes AU's properties and its contents to losses or damages suffered as a result of the occurrence of common perils, such as fire, building destruction, or damage of any insured contents.
 - **Public Liability Insurance – Internship Activities:**
To indemnify AU against any legal liabilities towards any third party, including students, in respect of personal accidents and/or property damage arising out of internship activities of students in the medical fields, who are exposed to high risks of lab materials; pharmacy, dentistry and clinical training activities, either in-campus or outside.

Financial Risk Management Responsibilities

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

Responsibility	Risk



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

Information Technology Risk Management

Statement

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

Risk Identification

Servers and Storage:

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

Network Appliances:

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

LAN, WAN, and Internet Connections:

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

Risk Component Analysis:

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

Threats and Vulnerabilities:

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

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

Data Loss:

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

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

Unplanned Service Outage:

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

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

Risk Evaluation and Prioritization

The following describe how different risks are evaluated and prioritized.

Threats and Vulnerabilities:

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

Data Loss:

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

Unplanned Service Outage:

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

Risk Mitigation Methodology

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

Threats and Vulnerabilities:

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

Data Loss:

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

Unplanned Service Outage:

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

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

Risk Plan Maintenance

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

Threats and Vulnerabilities:

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

Data Loss:

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

Unplanned Service Outage:

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

Risk Management Responsibilities

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

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

Facilities Risk Management

Statement

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

Risk Identification

- Technical Faults and Breakdowns:
Any partial or total shutdown that can have a direct impact on the University's operations and continuity of key services.
- Fire:
In the event of a fire outbreak, it becomes crucial that the fire safety system and processes are instantly activated to contain the spread and thus minimize the impact and loss.
- Utility Outages

Electricity and water shortages can significantly disrupt the functioning of the University's various colleges, offices and other common facilities.

- **Structural Incidents:**

Any structural collapse or failure in any of the University's infrastructure will have disastrous consequences.

- **Emergencies:**

Any emergency such as but not limited to natural disasters (earthquake, flooding, etc.) is beyond human control and can affect AU facilities and infrastructures critically.

- **Safety and Security:**

Considering the number of students and visitors of AU campus and its extended buildings and facilities, undesired situations and incidences, disturbance and violence that can erupt in the University could jeopardize the safety and security of the occupants, facilities and infrastructure.

Risk Component Analysis

- **Technical Faults and Breakdowns:**

AU facilities and infrastructure should remain in perfect functional state for efficient, reliable and normal operations at all times. This requires prompt and effective repair services and periodic preventive maintenance to be carried out to minimize or prevent facilities down time or closure.

- **Fire:**

Fire is an unpredictable and inherent risk in University's environment, and carries a high damage potential. The existing facilities and infrastructure does possess the necessary fire safety mechanisms and processes.

- **Utility Outages:**

Uninterrupted power and water supply for AU facilities is essential and of paramount importance for its functioning and operations. These basic utilities within the Emirate of Ajman are supplied by a federal government authority, and mostly seem to be stable, sustained and reliable.

- **Structural Incidents:**

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

- **Emergencies:**

It is imperative that a clear, effective and tested evacuation plan is compiled, and is circulated and posted for the facility's occupants in order to be well prepared for any such emergency incidents.

- **Safety and Security:**

It is of utmost importance that AU facilities and infrastructure are safe and secured at all times for the protection and comfort of all its occupants; faculty, staff, students, and visitors. AU facilities do possess security systems and personnel for overseeing internal safety and security.

Risk Evaluation and Mitigation Methodology

- **Technical Faults and Breakdowns:**

This risk potential is regularly evaluated by monitoring the frequency of reported faults and breakdowns; periodic assessments of AU's facilities and infrastructure; amount of resources and personnel needed for carrying out maintenance and repairs. The University mitigates this risk by conducting regular inspection of all AU facilities and infrastructures; scheduling and conducting preventive maintenance of key areas of AU's facilities and infrastructure; keeping inventory of vital spare parts and backup equipment to

minimize facilities downtime; ensuring the availability of sufficient maintenance personnel for immediate action and resolution at the earliest; conducting regular training of maintenance personnel for prompt and effective responses to potential technical issues.

- Fire:

Periodic review and assessment of the fire safety mechanisms, equipment and processes within AU's facilities and infrastructure; as well as the history of fire incidents represent key indicators of exposure to such risk. This is mitigated throughout the continuous evaluation and identification of potential fire hazards; inspection of the status and condition of the fire safety systems, mechanism, equipment and processes across all AU facilities and infrastructures, in addition to scheduling and conducting preventive maintenance of fire safety systems, mechanisms and equipment; compiling fire safety manual, evacuation plan and spreading awareness; conducting fire safety and evacuation drills; communication and information exchange with civil defense authorities, hospitals and other relevant authorities; putting in place loss/damage insurance policy.

- Utility Outages:

Periodic assessments of utility infrastructure of AU's facilities; communication and information exchange with the utility provider; history of utility incidents within AU's facilities represent fundamental component to enable maintaining a proper plan to control such risks. This risk is mitigated throughout the continuous evaluation of the status and condition of the utility networks across AU facilities and infrastructure; communication and regular information exchange with the utility service providers for prioritized supply restoration to AU's facilities, scheduling and conducting preventive maintenance of key utility infrastructure of AU's facilities, and backup supply provision arrangements.

- Structural Incidents:

The regular evaluation of the status and condition of the structural reliability of AU facilities and infrastructure is conducted to ensure the maximum safety of all AU's structures, in addition to scheduling and conducting preventive maintenance of key areas of COD clinical facility and infrastructure; communication and information exchange with civil defense department, hospitals and other relevant authorities; as well as the availability of loss/ damage insurance policy.

- Emergencies:

To best meet the requirements of controlling such type of risks, AU maintains sustainable communication and information exchange channels with relevant emergency management authorities and government bodies, in addition to compiling Emergency Manual, evacuation plan and spreading awareness; conducting safety and evacuation drills; and the availability of public liability loss/ damage insurance policy.

- Safety and Security:

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

Facilities Risk Management Responsibilities

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

Document History

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

Policy on Policies

Policy Owner	Executive Director - OIPE	Responsible Office	OIPE
Approved By	Chancellor	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

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. 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 signed 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.

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

2. Quality Assurance



جامعة عجمان
AJMAN UNIVERSITY

Quality Assurance Policy

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

Purpose

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

Statement

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

Quality Assurance Objectives

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

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



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

Application

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

Assessment of Academic Programs

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

Assessment of Support Units

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

Support to Higher Management

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

Office of Institutional Planning and Effectiveness

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

Role and responsibility of OIPE

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

The OIPE shall be responsible for:

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

Institutional Research

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

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

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

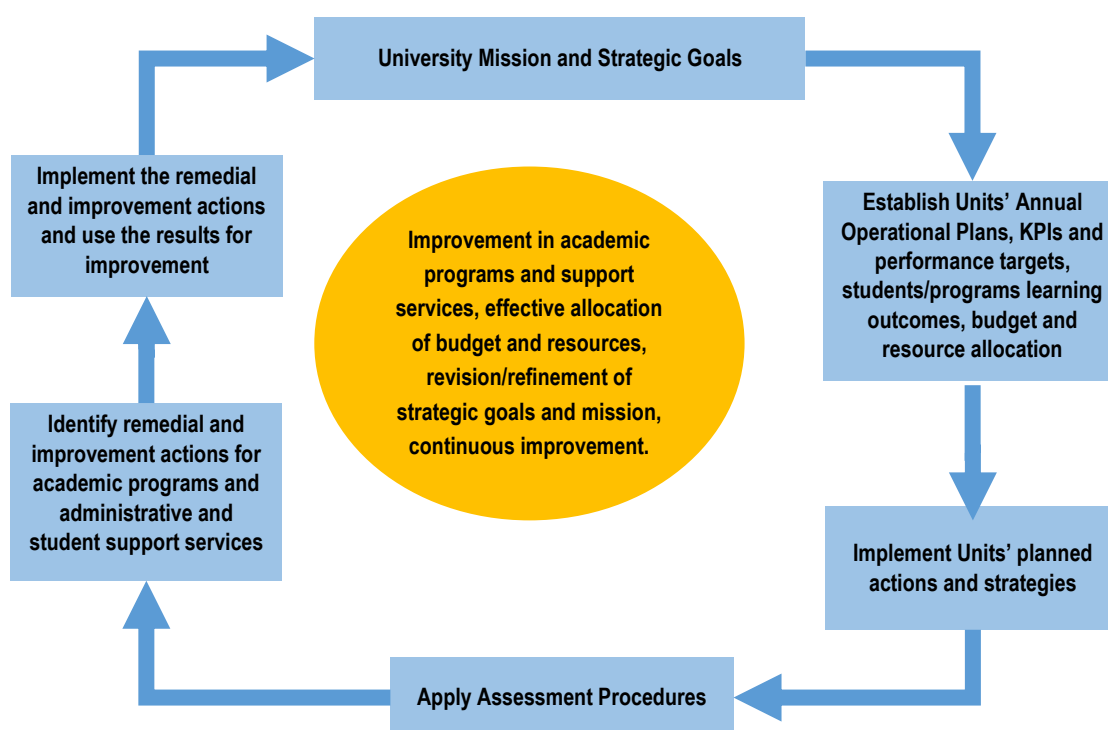
- To provide analytical and technical support to AU management to support strategic planning and operational decision-making.
- To produce the University Fact Book, which is available for use by all members of the University community.
- To provide data to the Center for Higher Education Data and Statistics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

Institutional Effectiveness (IE) Model

Institutional Effectiveness is an ongoing process integrating assessment planning, systematic data gathering, analyzing and interpreting the data in order to improve the quality of academic programs as well as to enhance the performance of various units and operations supporting the academic programs. To implement best academic practices the OIPE shall adopt a well-designed Institutional Effectiveness Model (IE Model)

which shall provide the institution with the capability to determine whether the objectives of its academic, student, and administrative service units, and the learning outcomes of its academic programs and courses, are being met. The IE model, as shown in Figure 2 below, shall be implemented across all units (academic and non-academic), and details of the main components of the assessment process are described in length in the quality assurance manual.

Figure 2: The Institutional Effectiveness Model (IE Model)



The main components of the assessment process are as follows:

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

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

Policy on Adoption of Accrediting Agencies Policies and Procedures

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

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	17/01/2020	New Policy	Executive Director - OIPE

Policy and Procedure on Surveys

Policy Owner	OIPE Executive Director	Responsible Office	OIPE
Approved By	The Cabinet	Effective Date	Dec. 2020
		Next Review Date	Dec. 2023

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 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.
- 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 (Fall semester)			1 week after survey publication	End of Fall Semester
10	Annual Performance Evaluation Survey	OIPE	Faculty	Annual (Fall semester)			1 week after survey publication	End of Fall Semester
11	Professional Development Plan (PDP) Survey	OIPE	Faculty	Annual (Fall semester)			1 week after survey publication	End of Fall Semester
12	Administrative Staff Satisfaction Survey	OIPE	Admin staff	Annual (Fall 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/	OIPE	TBA	TBA			Within the day of the event/ before the external agencies data	End of the Academic year/ before the external agencies data



#	Survey Name	Responsibility	Survey Respondents	Survey Period			Closing of Survey	Results Dissemination
				Fall Semester	Spring Semester	Summer Semester		
	Chancellor's Office						submission deadline	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

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.

4. 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.
5. 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 Annex 17 of the Standards for more details concerning Substantive Change at program level.

- **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.

Development of an Application for Substantive Change

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 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 (Substantive Change at Program Level). 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, in collaboration with the concerned academic department.

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 the section regarding the development of an application for substantive change	Office of Institutional Planning and Effectiveness

Program Phase-out Policy

Policy Owner(s)	Office of the Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Apr. 2021
		Next Review Date	Apr. 2024

Purpose

This policy is established to support a smooth phase-out implementation of academic programs for which a decision has been made to discontinue the enrolment of new students.

Definition

Independent Study: A course in which a student is individually supervised by a faculty member, which enables a student to undertake a learning opportunity which is otherwise unavailable. Independent study courses must have an appropriate learning plan (typically a syllabus), learning outcomes, end of term evaluations and appropriate assessment.

Scope

Students, faculty and staff involved in the phased-out programs.

Statement

Ajman University (AU) may find it necessary to discontinue the offering of a program either in compliance with the regulations of the Commission for Academic Accreditation (CAA), Ministry of Education directives or as a result of internal program review at AU. This policy is developed to ensure that discontinuity of a program has minimum impact on the students already enrolled in the program. The University is responsible to ensure that students of a discontinued program are able to complete their graduation requirements with minimum disruption, if any.

Procedures

1. 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.
2. Students enrolled in the discontinued program will be assisted by their academic advisors in explaining this phase-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.
3. AU shall appropriately generate a phase-out plan to ensure its commitment to provide high-quality education to the remaining existing students. The phase-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 phase-out plan shall be submitted to the VCAA for approval.
4. Upon the approval of the program phase-out plan by the VCAA, AU shall communicate it to all relevant stakeholders for implementation and/or information concerning the approved plan.

5. As per the program's study plan, AU shall continue to offer the courses till the last cohort of the program graduates.
6. 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 phased-out programs and corresponding supporting documentation shall be maintained by the College.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/Reviewer</i>
V 1.0	13/04/2021	Initial policy	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
Approved By	Council for Academic Affairs	Effective Date	Jan. 2019
		Next Review Date	Jul. 2022

Advance Standing

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

Recognition of Prior Learning

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

- 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.

4. For appropriate recognition, the learning should be current, relevant to the course and of sufficient breadth and depth to ensure university level learning.
5. 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) must not exceed 50% of the total completion requirements including credit transfer of formal learning.
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 Admissions and Registration.
2. In filling the PLAR application, the applicant can get assistance from his/her academic advisor.
3. The registrar shall forward the application form along with supportive documents to the College Dean who shall provide it 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 Admissions and Registration. The student will be informed accordingly by the Office of Admissions and Registration.

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



Document History

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

Dual Credit Program Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	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	TLC Manager	Responsible Office	Teaching and Learning Center (TLC)
Approved By	Vice Chancellor for Academic Affairs	Effective Date	May 2020
		Next Review Date	July 2023

Purpose

The Purpose of this policy is to enable and encourage the delivery to students, faculty, and professional staff at Ajman University (AU) of an environment where excellence in Learning and Teaching are developed and practiced.

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 learning and teaching policy, which shall be overseen and implemented by the Teaching and Learning Center (TLC), aims at making significant contribution towards achieving the University's mission of producing well-rounded graduates, and developing faculty and professional staff learning and teaching skills of to attain the highest international standards level. The learning and teaching policy, supported by motivated staff and students, capitalizes on AU's commitment to employ innovative and effective teaching and learning methodologies, high-quality infrastructure and facilities, as well as sets out expectations of students' learning experiences.

Principles

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

- Graduate well-rounded minds.
- 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.
- Develop students' technical as well as soft skills to promote strong emphasis on hand-on approach and innovation to enhance employability.
- Encourage the use of new Teaching and learning methods by various academic programs to provide students hands-on experience to develop their potential and expertise.
- Developed 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 required expected level of quality learning and teaching and each goal is assigned a number of objectives to ensure goals' attainments.

1. Enhance the effectiveness and relevance of all academic programs

- a. Meet international accreditation and/or quality assurance guidelines for all academic programs
- b. Regularly review and update academic programs, as necessary, to ensure their currency and effectiveness
- 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 approaches are up-to-date and in line with international best practices and standards
- b. Establish a Teaching and Learning Center to update faculty's teaching methodologies
- c. Incrementally introduce digital learning approaches
- 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
- b. Adopt a competitive salary structure
- c. Support faculty development programs
- d. Provide concrete incentives and networking opportunities for faculty members to conduct high-quality research outcomes in collaboration with other academic and non-academic institutions.

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.
- 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. New software shall be introduced to better assess the learning outcomes.

5. Provide innovative and effective support services to students

- a. Promote the use of online services
- b. Invest into smart and efficient student information systems including recruitment, admission, advising, and registration
- c. Eliminate paper-based and manual processes
- d. Launch smart-phone based applications that satisfy student needs
- e. Cooperate with strategic partners to provide innovative financing solutions, sponsorship and financial aid to students.

6. Increase students' potential for employment

- a. Develop students' critical thinking skills and hands-on expertise
- b. Launch a Student Success Centre to contribute in producing well-rounded graduates



- c. Improve academic and career advising as well as placement services
- d. Provide more opportunities to students for their personal and professional development
- e. Increase the number of study-abroad and exchange opportunities

Policy Control and Implementation

This Learning and Teaching policy, which offers broad guidelines and AU resolve to enhance student learning and innovative teaching, will be the responsibility of the Teaching and Learning Center (TLC), whose role as a facilitator and collaborator was established to stimulate new learning and innovative teaching.

The TLC shall oversee this policy's implementation through its support of appropriate use of 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 students' learning.

Roles

- In addition to a dedicated TLC professional team, the TLC in order to meet its objectives is supported by an Advisory Committee that includes the Vice Chancellor of Academic Affairs, Executive Director of OIPE, and Faculty Members Representatives from all Colleges.
- The TLC, based on VCAA directives, shall provide colleges with guidance on monitoring and evaluating faculty teaching methods.
- 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.
- The TLC shall coordinate and manage all agreements with external entities involved in any faculty development activities in collaboration with the Legal advisor of AU and the Office of the VCAA.
- The TLC shall collaborate and coordinate with AU Student Success Center (SSC) concerning students' requirements and the providing of faculty and staff development.

Procedure

- 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.
- 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 the assigned as a TLC Faculty Liaison and the TLC committee member representing in his/her college (TLC-FL).
- 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.
- 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.
- 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.

- 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.
- 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



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

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
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

Undergraduate Completion Policy

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

Purpose

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

Addition of the program on the Registration system

- a. Once the program is awarded initial accreditation from the CAA, the Dean of the College sends to the Registrar the following:
 - The final list of all courses in each category: Compulsory and elective courses of General Education courses, College courses, Major courses, and Minor courses when applicable.
 - The detail of each new course: course number, credit hours, contact hours of Lectures, Lab sessions, and Tutorial sessions per week, pre-requisite course(s), level of study.
- b. Once the Registration officer enters the program on the system, he submits to the Registrar a printout of the entered study plan on the system.
- c. The Registrar ensures that the entered study plan complies with the CAA standards:
 - It contains 24 credit hours of General Education,
 - The number of credit hours of Major courses adds up to at least 30 credit hours,
 - Minor courses adds up to at least 15 credit hours if applicable,
 - the total number of credit hours of the program is as approved by the CAA: not less than 120 credit hours for Bachelor Programs.
- d. The Registrar sends a hard copy of the study plan to the Dean of the College for approval.
- e. Once the approval of the Dean is obtained, the Registrar sends the list of the details of new courses along with their fees to the Finance Department to enter on the system.
- f. The Registrar activates the new program on the Registration system so that admission to the program can be opened, and its courses could be planned on the Timetable module of the Registration System.

Courses to be taken outside AU

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

Follow up of graduating students

- a. At the end of the add and drop period of each semester, the Registrar sends to the Dean of each college, the list of graduating students along with their transcripts, registered courses during that semester, and the pre-graduation form to be signed by the academic advisor. 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.
- b. For each graduating student, the academic advisor fills in the pre-graduation form whose content mainly is a detailed checklist whose aim is to check if the earned courses along with the registered courses during the current semester cover all the requirements for graduation (Compulsory and Elective courses of each category) subject to passing currently registered courses.
 1. The form also contains a section concerning equivalent courses that were taken based on approved request form, which is kept in the student's file at the registration department.
- c. In parallel, each registration officer reviews the academic records of graduating students, and compares them to the official study plan of the program.
- d. Well before the end of the semester, each registration officer compares the results of his/her analysis with that of the academic advisor. In case of discrepancy, he/she transfers the case to the Registrar who will in turn discuss the case with the Dean of the College.
- e. Finally, for each program, the list of graduating students' names and IDs is compiled by the Registration Department before the end of the semester.

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

- a. Once the results are announced, the Registrar sends to the Dean of each College:
 - The list of graduating students, along with their final Transcript, whose CGPA is 2.0 or more
 - The list of graduating students that completed all courses but their CGPA is less than 2.0. These students will be asked by the academic advisor to re-take courses from their study plan to raise their CGPA to 2.0 or more.

- The list of graduating students who failed one or more courses during their last semester. These students may ask for a re-sit exam if they have failed in one course and it is the last course required for graduation. Otherwise, they will re-take the courses during the following semester.
- b. After coordination with the Registrar, the Dean of the college sends the list of the graduates to the Academic Council of the University for approval.

Change of student status from Regular to Graduate student

- a. Each Registration officer shall change the status of the student to a graduate student after ensuring that:
 - The name of the student is in the approved list of graduates.
 - The individual report of the student is signed by the academic advisor, and the Dean of the College.
 - The most recent personal data (filled in by the graduating student in the graduation form) are consistent with the existing ones on the system.
 - The student submitted his/her clearance sheet.
- b. The Registrar sends the list of declared graduates to the Deans of the Colleges including the following information: ID, Name, earned credit hours, CGPA, and program.
- c. The Registrar is responsible for publishing the list of graduates online to be used by the Department of Programs and Certification of the Ministry of Education - Higher Education affairs before the distribution of graduation certificates.

Important

- a. Changing the name of the graduate is not allowed once the graduate has been issued his/her graduation certificate even if he/she presents an official document.
- b. A Graduate cannot be re-enrolled in the same program to raise his CGPA if he/she had been issued his/her graduation certificate.

Graduation Certificates

- a. Each graduate will be given a Graduation Certificate in Arabic and English.
- b. The certificate shows the Merit that corresponds to the student's CGPA according to the following scale:



Scaling System for Graduation

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

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

Time Allowed for Completion of a Degree Program

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

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	Dean of Admissions and Registration
V 1.1	20/09/2012	Minor change – scaling system	Vice President for Student Affairs
V 1.2	27/05/2017	Minor change – credit hours for General Education	Vice Chancellor for Academic Affairs
V 1.3	27/09/2020	Minor change – transcript entry provision for courses delivered through e-learning	OIPE Executive Director

Graduate Completion Policy

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

Purpose

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

Addition of the program on the Registration system

- a. Once a Graduate program is awarded initial accreditation from the CAA, the Dean of the College sends to the Registrar the following:
 - The approved list of all courses of Compulsory and Elective courses.
 - The detail of each new course: course number, credit hours, contact hours of Lecture, Lab sessions, and Tutorial sessions per week, and the pre-requisite course(s).
 - The minimum and maximum time allowed for completing the Thesis/Dissertation when applicable.
- b. The Registration officer submits to the Registrar a printout of the entered study plan on the system which shows the list of courses along with their details in each category, and the number of required credit hours in each category.
- c. The minimum number of credit hours/credit units required for the completion of a qualification must be no less than the following:
 - Associate degree (Diploma) or its equivalent – 60 semester hours or equivalent;
 - Baccalaureate Degree or its equivalent – 120 semester hours or equivalent;
 - Postgraduate Diploma – 24 semester hours or equivalent;
 - Master’s Degree or its equivalent – 30 semester hours including thesis requirements (if any), or equivalent. If the program has a thesis component, then the number of credit hours of taught courses should not be less than 21 credit hours;
 - Doctoral Degree or its equivalent – 42 semester hours including dissertation requirements, or equivalent, with at least 24 of those hours being “taught” classes rather than dissertation credits.
- d. The Registrar sends a copy of the study plan to the Dean of the College for approval.
- e. Once the approval of the Dean is obtained, the Registrar sends the list of new courses along with their fees to the Finance Department to be put on the system.
- f. Finally, the Registrar activates the new program on the Registration system so that admission to the program can be opened and its courses could be planned on the Timetable module of the Registration System.

Courses to be taken outside AU

- a. Independently of the number of credit hours that could be transferred to transferring Graduate students who are in good academic standing (CGPA is 3.0 out of 4.0 or more), the maximum number of credit hours that will be transferred should not exceed 25% of the total number of credit hours of the courses that compose the program.
- b. The transferred courses should not, in any case, include more than 25% of the credit hours of the final year of the program.
- c. To encourage its students to benefit from its MoUs with other institutions, AU encourages its non-transferred students to take some courses, up to 6 credit hours, of their study plan in accredited institutions in the UAE or abroad during their studies. However, at least 3 credit hours must be a course of the 1st year of the program.
- d. Under no circumstances, the Dean of the College and the Registrar will grant approval to study more than 6 credit hours of the final year credit hours outside AU.
- e. The academic advisor and the Registration officer in charge are responsible in following up the academic progress of the student, to avoid delays in the student's graduation.

Follow up of graduating students

- a. At the end of the add and drop period of each semester, the Registrar sends to the Dean of each college, the list of graduating Graduate students along with their transcripts, registered courses during that semester, and the pre- graduation form to be signed by the academic advisor. 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.
- b. For each graduating graduate student, the academic advisor fills in the pre-graduation form whose content mainly is a detailed checklist for whether the earned courses along with the registered courses cover all the requirements for graduation are fulfilled subject to passing currently registered courses.
The form also contains a section concerning the progress of the thesis/dissertation.
- c. In parallel, each registration officer reviews the academic records of the students, and compares it to the official study plan of the program.
- d. Well before the end of the semester, each registration officer compares the results of his/her analysis with that of the academic advisor. In case of discrepancy, he/she transfers the case to the Registrar who will in turn discuss the case with the Dean of the College.
- e. Finally, for each program, the list of graduating students' IDs dressed by the Registration Department before the end of the semester.

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

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

Change of student status from Regular to Graduate student

- a. Each Registration officer shall change the status of the student to a graduate student after ensuring that:
 - The name of the student is in the approved list of graduates.
 - The individual report of the student is signed by the Academic advisor and the Dean of the College.
 - The most recent personal data (filled in by the graduating student in the graduation form) are consistent with the existing ones on the system.
 - The student submitted his/her clearance sheet
- b. The Registrar sends the list of declared graduates to the Deans of the Colleges including the following information: ID, Name, earned credit hours, CGPA, and program.
- c. The Registrar is responsible for publishing the list of graduates online to be used by the Department of Programs and Certification of the Ministry of Education - Higher Education affairs before the distribution of graduation certificates.

Important

- a. Changing the name of the graduate is not allowed once the graduate has been delivered his/her graduation certificate even if he/she presents official documents.
- b. A Graduate cannot be re-enrolled in the same program to raise his CGPA if he/she had been issued his/her graduation certificate.

Graduation Certificates

- a. Each graduate will be given a Graduation Certificate in Arabic and English.
- b. The certificate shows the Merit that corresponds to the student's CGPA according to the following scale:



Scaling System for Graduation

14. Cumulative GPA	15. Merit
16. From 4.0 to 4.5	17. Excellent with Honors
18. From 3.75 to less than 4.0	19. Excellent
20. From 3.0 to less than 3.75	21. Very Good

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

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	Dean of Admissions and Registration
V 1.1	20/09/2012	Minor change	Vice President for Student Affairs
V 1.2	15/10/2017	Minor change – added details on number of required credit hours	Vice Chancellor for Academic Affairs
V 1.3	27/09/2020	Minor change – transcript entry provision for courses delivered through e-learning	OIPE Executive Director

Policies and Procedures for Online Learning and Assessment

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

Introduction

All academic programs offered by Ajman University (AU) have been accredited by the Commission for Academic Accreditation (CAA), Ministry of Education, for face-to-face or in-person teaching and learning. As such, AU does not normally offer any course or program through online or distance learning. However, due to precautionary measures taken to cope with the extraordinary circumstances resulting from COVID-19 pandemic and following the directives of the UAE Ministry of Education (MoE), all on-campus classes were suspended at Ajman University starting from 8th March, 2020 for the remaining part of the Spring semester and the Summer semester of AY 2019-2020. For this purpose, AU developed policies and procedures for distance (online) learning and submitted to MoE. These policies and procedures were applied for all teaching and assessment activities during the Spring and Summer semesters of 2020. Subsequently, the Ministry of Education issued Procedures and Protocols for Operation of Educational Institutions during the Pandemic. Accordingly, AU has modified its policies and procedures for online or distance learning in order to fully comply with the directives of the MoE and in alignment with CAA's Standards 2019.

The policies and procedures for online teaching and assessment ensure that, as and when required, online or hybrid teaching and learning at Ajman University (AU) will be in full alignment with the protocols and procedures defined by the MoE. All teaching activities shall be carried out in accordance with the level of risk at any time during the Covid-19 pandemic and taking all necessary precautions for AU community. For the moderate-risk level, AU shall leverage the best of both worlds – online and in-person – to provide the maximum learning opportunities to students to attain the desired learning outcomes. All theoretical courses will be taught online while the labs, studios, and clinics will be conducted on campus in face-to-face mode. In this case, in alignment with the Ministry of Education's requirements for social distancing, only a certain percentage of students registered in a particular lab, studio, or clinic shall be physically present on campus at any given time. Appropriate arrangements have been made for the required physical distancing in labs, studios and clinics. All midterm and final exams will be held on campus using classrooms and additional spacious facilities such as the Sheikh Zayed Center and the Sports Complex. As per AU policies, it will be ensured that the classrooms and additional facilities are configured to comply with social distancing regulations. For all online assessments, AU is committed and prepared to ensure high level of academic integrity. AU is also quite prepared to implement individual action plans for Students of Determination and shall take appropriate measures during the exam time depending upon the category of disability and the nature of individual needs.

If the level of risk changes to high-risk level, then most of the labs and studios will also be held remotely as per the guidelines of the MoE. The clinics will be held on campus as permissible and under very strict supervision. Quizzes, midterm exams, and most of final exams will be held online.

If the risk level changes to low-risk level, teaching and learning can take place on-campus for lectures, labs, studios and clinics in accordance with the precautionary measures specified by the MoE. All assessments and exams will also take place on campus.

For delivering online lectures, all instructors shall utilize the synchronous online learning management system (i.e. Moodle/Blackboard-collaborate which was quite successfully used in the spring and summer semesters of 2020). Instructors are required – and are being trained for this purpose – to maintain the same level of interaction and participation for the online students as in regular face-to-face teaching mode. In addition, instructors shall utilize Moodle to share the course content, such as lecture notes, PowerPoint slides, assignments, and other course materials that can be uploaded to the course site on the online learning management system. All lectures will be recorded and shall be made available to students, thus further facilitating their learning process. This additional feature will enable the students to review the lectures at their own pace after having attended these synchronously online at the specified time of each class.

This document explains the policies and procedures related to distance or online teaching and learning including online assessment.

Policy on Online Learning

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

Policy Statement

1. The decision to implement distance learning policy is part of AU contingency plan to avoid any disruption to instructional delivery and utilization of state-of-the-art technology to provide students with high quality education without necessarily requiring traditional face-to-face classes. Ajman University management, faculty and admin staff shall work together to ensure that the University's mission of providing academic instruction to its students through online teaching and learning is conducted effectively, as and when required, through various means, including but not limited to the following:
 - a. Using the Blackboard Collaborate online teaching system integrated within Moodle Learning Management Systems (LMS) to enable faculty to conduct synchronous online lectures and communicate with students.
 - b. Using Moodle to share course content, such as lecture notes, PowerPoint slides, assignments, and other course materials that can be uploaded to the course site on the LMS.
 - c. Using Zoom and Microsoft Teams for collaboration as well as scheduling and conducting meetings.
2. The University will support faculty in implementing the E-Learning policy by providing onsite training workshops and faculty can complement the training by using the documented guidelines accessible through: www.myLMS.ajman.ac.ae. The website also includes information for students on how they can access their courses online.
3. The Office of IT multimedia specialist, programmers, and technical support staff will provide faculty with the necessary training on advance usage and implementation of AU Learning Management System (LMS) solutions. Staff members are encouraged to request and coordinate with the Office of IT to schedule training workshop on advance usage of LMS.
4. The Teaching and Learning Center (TLC) will arrange for workshops to train faculty for online teaching and assessment.

5. Appropriate training shall be provided to all faculty members in course design, course delivery, evaluation methods, building online communities, students' engagement etc.
6. Guidelines for online assessment shall be provided to faculty.
7. All students participating in the online courses are to have access to the same level of quality of learning and standards of excellence offered at AU through the traditional face-to-face mode, as well as achievement of the same expected learning outcomes.
8. Students with valid reasons (medical and otherwise) that absolutely prevent them from attending face-to-face classes, in case of hybrid or Hyflex mode, will be exempted and allowed to attend their full semester of classes online in order to minimize the risk of infection.
9. Students shall be provided all necessary information to effectively use online platform for their learning and assessment.
10. Students' online attendance policy shall be communicated to all students.
11. Appropriate measures shall be taken to address the needs of Students of Determination depending upon the category of disability and the nature of individual needs. The University shall identify and address specific Covid-19 needs of such students.
12. For certain courses involving laboratory and studios, College Deans, department heads, and faculty shall work together to specify alternative methods to face-to-face instruction, including virtual labs. It is possible that in some cases, the missed practical sessions that require physical interactions such as clinics shall be made up once the University resumes normal operations during the summer term or by utilizing weekends or extended working hours during regular semesters.
13. Alternative forms of internships shall be developed by Colleges, as applicable, to provide effective internship to students when face-to-face internships are not possible due to health and safety reasons.
14. The head of Teaching and Learning Center (TLC) shall be the Coordinator for online learning and responsible for its oversight and development.
15. The office of Institutional Planning and Effectiveness (OIPE) shall be responsible for periodic evaluation of online teaching and assessment, preparing action plans for continuous improvement, and closing the loop.
16. The online or E-Learning strategy shall be reviewed on annual basis and revised as necessary.
17. The Office of Information Technology will be responsible for development as well as maintenance of hardware and software for online or E-learning. This office shall also be responsible for appropriate digital media.
18. The University shall provide appropriate budget for maintaining an effective online infrastructure and environment. This will be ensured by the Office of Budget and Planning in preparing annual budgets in coordination with all stakeholders including the Office of IT and TLC.
19. The University shall take all measures to mitigate academic dishonesty. It will employ appropriate proctoring mechanisms to uphold academic integrity.
20. Student disciplinary policy will be updated to incorporate academic dishonesty issues related to online learning and assessment.
21. The University shall gradually increase student presence on campus according to the Ministry's instructions and the stages of risk identified in its Procedures and Protocols for Operation of Educational Institutions during the Pandemic.
22. Teaching staff who are in contact with or infected with Covid-19 or quarantined may be treated as if they are on sick leave; hence, the college should arrange for their teaching load to be covered by other staff members (full-timers or adjuncts) during their absence. However, for online courses, staff who are in



contact with or infected with Covid-19 or quarantined may opt to continue teaching online as long as they are able to do so.

Learning Resources

1. Faculty and students are provided with the appropriate services and resources to support online classes. For technical support and questions, faculty/students can call the Helpdesk service phone number and send request through the IT ticketing system, either by sending email to helpdesk@ajman.ac.ae or directly through Moodle portal.
2. Students are informed of available student services, instructional support, and library resources, and they are provided access to the library services such as eBooks, electronic databases, and online catalogs. Students can search, read online, and download anytime anywhere millions of articles from 66,000 electronic journals, each title includes hundreds of volumes in both Arabic and English languages, and 460,000 electronic books in both languages. Faculty and students may also access other library resources using AU credentials.
3. AU provides laptops, digital writing pads, and software to ensure that faculty members teaching online have the necessary tools to develop and deliver the courses they teach, and to effectively communicate with students.
4. AU provides various online resources to students and faculty, including the following, to achieve a high level of quality comparable with international standards:
 - a. E-Learning Management System, Moodle, which allows faculty members to do the following:
 - Upload all the teaching materials
 - Open forum, blog, poll, or wiki as needed
 - Upload assignment to students
 - b. Online Classes, Blackboard Collaborate, integrated with Moodle, where all the lectures will be hosted on Internet Cloud. This service allows faculty members to conduct online lectures with the below options:
 - Communicate online with attendees: attendees may chat, raise hands and request to speak
 - Share presentation or any application with the attendees
 - Drop question
 - Create groups for discussions
 - Share files
 - Set the student's attendees as presenter, where the students will be given the privilege to present their desktop or share files
 - Generate attendance report for each session
 - Record the class session and provide access to students to watch, as needed.
 - c. Class Capturing where the faculty member can record the lecture/lab tutorial, and share it with students through Moodle, hosted on Internet Cloud.
 - d. Email service from MS Office 360, with online applications (Word, Excel, PowerPoint, etc.) for faculty and students, and cloud storage.
 - e. Virtual Computer lab, for courses that require software. It allows students to login to their Virtual PC remotely using AU credentials and access the required software.

5. Additional supporting services:
 - a. The Office of IT provides every semester orientation on its services, and updates teaching and video tutorials for faculty and students on all IT services, including the Online Classes.
 - b. AU maintains sufficient internet bandwidth to support the operation of the e-learning environment with a 70 MB leased line dedicated for servers with bandwidth management service, and 9 ADSL lines with 500 MB each dedicated for users through Wi-Fi and LAN connection.

Expectation of Faculty

Faculty members are expected to undertake the following:

1. Upload a weekly plan every week (before the week starts) that contains:
 - a. The topics that will be covered in the sessions of that week.
 - b. The CLOs that will be covered in every session.
 - c. The chapter and sections that will be covered from the textbook in every session.
 - d. Extra resources that may be used including references, web links, video links, extra tutorials.
 - e. The activities that the student should do before the online session, during the session, and after the session.
2. Connect to the online class 10 minutes before the starting time to make sure that all functions required for online session are working properly.
3. Start the synchronous online class on time by writing a welcome message to students, asking them if they can hear the instructor properly.
4. Upload lecture materials and make sure they are available to students.
5. Keep the students' active, motivated and interacting during the session by, for example, asking them simple questions by engaging them in discussions.
6. In case the course delivery is done from off campus, the faculty is responsible to make all arrangements for an appropriate "educational environment" (internet connection, electronic devise(s), etc.).

Expectation of Students

1. Students are required to prepare appropriate educational environment off-campus, by getting internet connection and the electronic device for use in distance education (computer – laptop - tablet – smartphone).
2. Students are required to adhere to the attendance policy for online learning as follows:
 - a. The students participate in the learning activities as requested by the instructor.
 - b. The Instructor will take attendance and the relevant policy will be enforced.
3. Students are required to continually follow the updates on Moodle as well as any emails and messages that are forwarded by the instructors.
4. Students are required to review the activities on the weekly work plan that is uploaded every week. They must read the teaching material, as assigned, before the online session, implement all activities and submit assignments required from them.
5. Students are required to use all the additional resources available to them on Moodle such as web links, video links or additional material and references.

Online Assessments

1. Online assessments will be carried out through a number of different mechanisms including the use of assignments, short quizzes, oral sessions, live presentations, and projects, among others. Traditional exams will be avoided as much as possible. Faculty members will communicate the exact assessment tools and timings directly to their students.
2. Regardless of the type of adopted assessment techniques, they must provide a proper and documentable measurement of the Course Learning Outcomes (CLOs) as per the course syllabus.
3. For assignments and projects, all plagiarism detection tools such as Turnitin, oral verifications, and/or live video presentation must be used.
4. For lab/studio related exams that require access of specific software packages, the respective college must consult with the Office of IT in advance to make sure that students have the required remote access to these packages. For other labs, virtual lab, questions based on experimental data and videos of experiment may be used to assess the students on live session basis.
5. Although AU will continue to follow the standard grading system, students will also have the option of a Pass/No-Pass (P/NP) scheme. The option will be given to students after they have completed all the required assessments. The P/NP grades will not affect the semester or cumulative GPA.
6. For 3rd, 4th, and 5th year dentistry students, final assessments (based on practical and clinical training) will be done after the students are able to come back to campus and receive the required training.
7. For 4th year graduating pharmacy students whose experiential training courses could be interrupted, the University shall prepare and implement an alternative plan.

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

Academic Progress Policy

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

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.

Statements

Course Selection

- a. Students should select, after consultation with the academic advisor, the courses they wish to register from their study plan before registering these courses.
- b. The selection process of the courses takes place during both the early registration and the regular registration periods.
- c. To avoid registration errors, the Registration system will automatically check the selected courses based on the following criteria:
 - The selected courses are listed in the student's study plan.
 - The student has met prerequisites of the selected courses if any.
 - The student has met the minimum credit hours required to register the selected courses if any.
 - The minimum and maximum study load of the student 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.
- d. The selection of certain courses for registration becomes mandatory if the student has completed a certain number of credit hours without passing those courses.

- e. Course registration, which is processed during the early registration period is exempted from meeting the prerequisite conditions above if the pre- requisite course is registered during the current semester. However, they will be automatically dropped from the selected courses if the student fails to pass any of the prerequisites.
- f. Warned students and students on conditional admission are not eligible for early registration and should get their academic advisor's approval for their selected courses during the registration period.
- g. Students on conditional admission will have to register in the courses listed in the conditional acceptance letter of their admission during their first semester of studies after fulfillment of English proficiency requirements.
- h. A student may ask his/her academic advisor to waive a restriction on his/her course selection such as: allowing them to register for a free study course not listed in their study plan. The student will have to provide a valid justification for the waiver.
- i. The Registration officer may register courses on the student's behalf on the system, subject to the approval of the academic advisor and the Registrar, to waive any approved academic restriction mentioned above.

Course Registration

- a. Course Registration is available to all students who completed the course selection process and who are not on academic hold.
- b. Students may register in courses shown in the schedules published by the Registration Department, provided that seats are available, and there are no timing conflicts in the schedules of the courses they register in.
- c. The total semester credit hours of registered courses should be within the authorized student's study load which is defined as follows 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*,**
1 st Academic warning	Below 2.0	9	15
2 nd Academic warning	Below 2.0	9	12

- d. Academically warned students having 1st, or 2nd warning must repeat at least 3 to 9 credit hours, as per the policy.

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

** 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, add/drop period of the semester.
- c. To perform add/drop, students should not be on academic hold.
- d. Credit hours of registered courses should be within the student's Study Load. Graduating students whose remaining courses have less than the minimum required number of credit hours on their study load band are exempted from this restriction.
- e. The Registration Officer may add/drop courses on the student's behalf, subject to the approvals of the academic advisor and the Registrar, to waive any academic restriction mentioned in "d".

Changing Course Section

- a. Students may change their registration from one section of a course to another one provided that they are:
 - Not on academic hold
 - There are no timing conflicts caused by changing to the new section with the other already registered courses
 - seats are available in the section they are changing to.
- b. Course section change is allowed from the start of early registration until the end of add/drop period.
- c. Changing course section does not require approval of the academic advisor, and may be initiated and completed by the student using online registration.

Withdrawal from Registered Courses

- a. Withdrawal from a registered course is allowed during the Withdrawal period for the semester specified in the academic calendar.
- b. A student may request a withdrawal from a course, and receives a grade of "W" in the withdrawn course.
- c. Students on academic hold are not entitled to withdraw from courses without approval of the academic advisor and they are required to seek the approval of the Registrar to process their request.
- d. Credit hours of remaining registered courses should be within the student's Study Load.
- e. The Registration Officer may withdraw courses on the student's behalf, subject to the Registrar's approval, to waive any academic restriction mentioned in "c".

Incomplete 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.

Forced temporary suspension by the Academic Council

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

Transfer to a new program

- a. Admitted students may request to transfer to another program before the start of their first semester of studies, subject to availability of seats. However, they should meet the minimum admission requirements of the program they wish to join.
- b. For continuing students, the CGPA's should be equivalent to the admission requirement of the new program.
- c. Continuing students are allowed one program transfer only during their studies, unless they are granted a waiver by the Registrar.
- d. The availability of seats in the new program is a prerequisite to accepting transfer requests.



- e. If the number of available seats in a program is less than the number of requests, the Dean of College selects the approved requests on a competitive basis using the CGPA, High School score, previous program, and eventually grades obtained in specific courses that are relevant to the new specialization. He can also arrange interview sessions.

Academic Hold

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

Honors List

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

Attendance regulations

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

- Held by a third party beyond their control (police, court, etc.)
- f. If a student is absent for 10 percent of class hours, the Instructor will issue a 10 percent absence warning.
- g. If a student is absent for 20 percent of class hours, the Instructor will issue a 20 percent absence warning.
- h. If a student is absent for 25 percent of class hours, the Instructor will issue a 25 percent absence warning, and the student will receive an F grade.
- i. A 25 percent absence warning requires the approval of the Dean of the College offering the course.
- j. Automatic notification of warnings will be sent to students by email and SMS.

APPENDIX

I: English Proficiency Levels

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

22. LEVEL	23. TOEFL	24. TOEFL IBT	25. IELTS
26. L0	27. > 550	28. > 79	29. Band 6
30. L1	31. > 500	32. < 61	33. Band 5
34. L2	35. > 480 and < 500	36. > 50 and < 61	37. Band 4.5
38. L3	39. > 450 and < 479	40. > 45 and < 50	41. Band 4
42. L4	43. < 450	44. 45	45. Band 3.5
46. L5	47. None	48. None	49. 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

AU Policies and Procedures

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 $GPA = 54/18 = 3$.



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 Admissions and Registration.

VI. Graduation Requirements

- A student will be awarded a degree subject to fulfilling the following requirements:
 - Completion of all courses of the academic program as described in the course plan.
 - Completion of practical training/ Thesis as specified in the study plan.
 - A CGPA of at least 2.0 for undergraduate programs and a CGPA of at least 3.0 for Graduate programs.
- In the event that the student completes all the courses but falls short of the CGPA requirement stated above, he/she needs to repeat courses in order to raise his/her CGPA to the required minimum.

Document History

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

Grading and Assessment Policy

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

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:
 - 40-50 % for semester tests and activities,
 - 20% for the Mid-Semester Examination
 - 30-40% 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 sends the request to the Dean's office of the College, which offers the course who will, in turn, forward it to the Instructor of the course.
- c. The Instructor will review the Final Examination and decides if the grade will remain unchanged, or review the grade upwards or downwards by giving the justification of the modification.
- d. Once the Dean approves the decision of the Instructor, he/she will 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 for the same course if the grade was kept unchanged.
- f. If the Grade is kept unchanged, the student may introduce a written complaint to the Dean who could designate a committee of faculty members to review the answer paper of the student.
- g. If the Instructor is no longer at AU, the Head of 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:

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

Document History

<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

Policy on Double Marking and Moderation

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

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	Council for Academic Affairs	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	Council for Academic Affairs	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
							Studio
							25
							10
Class Size	25	20	20	12	25	15	25
							10

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	20/10/20	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	Council for Academic Affairs	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	Office of VCAA
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 2024

Purpose

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

Scope

All AU students.

Academic Probation (Undergraduate Programs)

- If a student's CGPA drops below 2.0 in any regular semester, starting from the second semester at the University, he/she receives an academic warning and is placed on academic probation by the Registrar's Office. The students and his/her sponsor (if any) will be notified of the academic probation status via email, and the student status will be updated on his/her transcript.
- The study load of warned students is restricted as follows:
 1. First warning:

A student may register for a maximum of 15 credit hours, of which three or six credits hours are repeated (the priority is for courses with F, D, or D+ grades) depending on the CGPA.

- If a student fails to raise his/her CGPA to 2.0 or above at the end of the semester subsequent to the first academic warning (excluding the summer semester), he/she is issued a second academic warning.
 2. Second warning:

A student may register for a maximum of 12 credit hours, of which six or nine credit hours are repeated (the priority is for courses with F, D, or D+ grades) depending on the CGPA.

- If a student fails to raise his/her CGPA to 2.0 or higher at the end of the semester subsequent to the second academic warning (excluding the summer semester), he/she is issued a third academic warning. In this case, the College Council decides on one of the following measures to address the status of the warned student as follows:
 - i. transferring the warned student to another program if he/she meets the following criteria:
 - The student has completed a total 35 credit hours or less during his/her study.
 - The CGPA of the General Education courses is not below (2.0)
 - A transfer request is approved by the receiving College
 - ii. suspending the student for a maximum of one academic year during which he/she would be required to complete or repeat a maximum of 18 credits at another accredited institution provided that he/she has completed more than 35 credit hours at AU.

In exceptional circumstances, the student may submit a petition with the supporting documents to extend the one-year duration to complete the required courses and recover from the warning status.

The student must get an approval (from his/her college) for the courses to be registered at the other institution.

The student commits in writing to recover from an academic warning during the suspension period, and acknowledges that failure to do so may result in final academic dismissal from the program.

- iii. dismissing the academically warned student if:
 - The student has completed 35 credit hours or less at AU, and the CGPA of General Education Courses is below (2.0).
 - The student completed more than 35 credit hours at AU, yet he/she would not be able to recover from the academic warning by taking 18 credit hours outside AU.

Incurring a third academic warning for a second-time results in final academic dismissal of the student without any chance for petitioning

Academic Probation (Graduate Programs)

- A student seeking a graduate degree must maintain a CGPA of (3.0) throughout his studies as a requirement for good standing.
- In case a student's CGPA drops below 3.0 by the end of a given semester, he/she receives an academic warning. The student may be allowed to register for courses in the subsequent semester so that he/she may improve his/her academic standing (raise the CGPA to 3.0 points or above).
- If the student fails to raise his/her CGPA to (3.0) or above, the College may recommend his/her dismissal from the program.
- In exceptional circumstances, the student may submit a petition to resume his/her studies in the program for one more semester. Accordingly, the student may be given one last chance to raise his/her CGPA to 3.0 or above by the end of the semester; otherwise, he/she will be dismissed from the program without any chance for repetition.

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

Program Specification Policy

Policy Owner	Office of the Vice-Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Vice-Chancellor for Academic Affairs	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:

- a. 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;
- b. assists those involved in program curriculum development to appreciate the structure of the program and its learning outcomes;
- c. allows internal and external reviewers to understand the program's learning outcomes, structure and approach;
- d. 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;
- e. assists institutions in communicating essential program information to external stakeholders, such as professional bodies;
- f. 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:

- a. program title and program code/number;
- b. authoring team;
- c. date document prepared;
- d. dates of initial accreditation of the program and, where appropriate, subsequent renewal of accreditation of the program;
- e. dates of international accreditation and subsequent renewal of accreditation, if applicable;
- f. 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

Course File Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	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

Intensive Modes of Course Delivery Policy

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

Purpose

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

Statement

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

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

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

Document History

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

4. Research and Scholarly Activities



جامعة عجمان
AJMAN UNIVERSITY

DGSR Vision and Strategy

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

DGSR Vision

The Deanship of Graduate Studies and Research (DGSR) will achieve worldwide recognition of excellence for Ajman University (AU) graduate programs, research, and scholarly work by providing strategic leadership and comprehensive support to faculty, graduate students, and the external community.

DGSR Mission

The Deanship of Graduate Studies and Research 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.

DGSR Goals

1. Ensure consistency and compliance of all graduate programs with relevant policies.
2. Foster a vibrant and stimulating research ecosystem at the University.
3. Increase the number of faculty members publishing in peer-reviewed high-quality journals.
4. In collaboration with colleges and departments, define research targets and extend support to achieve these targets.
5. Continually enhance the quality and relevance of existing graduate programs.
6. Encourage initiation of new graduate programs reflecting global trends and catering to local and regional market needs.
7. Develop and implement an effective internal funding mechanism to provide research grants to faculty in all colleges.
8. Provide opportunities to faculty to obtain external research grants and nurture partnerships with organizations and businesses.
9. Assist colleges in recruiting outstanding graduate students through graduate scholarships and awards from internal as well as external sources.
10. Encourage interdisciplinary research among various colleges and departments.
11. Enhance the research culture in AU by organizing Annual Students Research Day and other activities including research awards for outstanding faculty and students.
12. Assist colleges in organizing national and international scientific conferences.
13. Assist and oversee the operation of College Research Committees in all colleges to promote and encourage interdisciplinary research activities among colleges.
14. Promote the culture of research at both undergraduate and graduate level.

15. Cooperate with colleges in developing joint graduate programs with international academic institutions.
16. Develop, periodically assess, and modify policies and procedures to continuously enhance the quality of research and graduate programs at AU in order to meet international quality standards and achieve excellence.

DGSR 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 its 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. Its research strategy, as described below, supports and promotes research and scholarly activities directed towards the creation, integration, and application of knowledge:

1. Nurture a culture of research across all disciplines and at both graduate and undergraduate levels.
2. Identify research areas of significance for academic colleges, University, and community at large.
These shall include some relevant research areas identified in UAE Vision 2021, Ajman Vision 2021, and the Abu Dhabi Economic Vision 2030.
3. Increase AU's national, regional, and international ranking in research and scholarship by hiring, retaining, and rewarding outstanding research-active faculty.
4. Improve the research infrastructure and funding mechanisms at AU to promote research across all disciplines.
5. Enhance cooperative research through research collaboration, strategic partnerships, and engagement with industry, business, and government organizations.
6. Provide sufficient budget for internally-funding research grants for faculty, their professional development and performance enhancement. Also, improve the number and quality of externally funded research grants.
7. Recruit outstanding graduate students through scholarships and awards from internal as well as external sources.
8. Enhance the quality of existing graduate programs and introduce new graduate programs reflecting global trends and catering to local and regional market needs.
9. Encourage and support organization of research conferences and research competitions.
10. Provide concrete incentives (financial and non-financial) for faculty members to conduct high quality and high-impact research.

General Provisions

1. Ajman University considers research among the most important responsibilities of its faculty members. It encourages, facilitates, and supports all faculty members in their research activities in all disciplines through DGSR.
2. All AU faculty members (Assistant Professor and above) are expected, to conduct research and engage in scholarship as well as publish and share their research findings.
3. Faculty members can conduct academic or practice-oriented research in their area(s) of specialization and participate in inter-disciplinary research. They can also conduct pedagogic research as appropriate to their discipline.
4. The University expects high quality research and scholarly contributions from each faculty member (Assistant Professor and above). The research and scholarly outputs may include, but not limited to, the following: (1) creative work and publications in refereed journals, book publication, book chapters and publications in conference proceedings, (2) Research project development, and internal and external research grants. Each faculty member (Assistant Professor and above) is expected to publish articles in a journal of high impact factor

or high-quality category (such as AU A*, A, B, and C) or proceedings of prestigious research conferences. Such journal classification is made available to all faculty members at Ajman University.

5. The research performance of faculty (Assistant Professor and above) will be a key factor in their annual evaluation as well as for their promotion to a higher rank.

6. AU shall support and facilitate collaborative research conducted in cooperation with public and private institutions and industry.

7. The University, through the DGSR and other relevant offices, shall provide assistance to faculty members for obtaining research grants from external sources in accordance with its approved policies.

8. Researchers shall follow the highest ethical standards in all aspects of their research work. They shall also abide by the applicable confidential requirements set by AU.

9. Researchers shall abide by the University policies on Intellectual Property (IP) Rights.

10. The College Deans shall submit an annual college research report on research accomplishments, progress, assessment etc. to the DGSR as per template provided by the DGSR. The annual research reports must be submitted at the end of every academic year as per deadline set by the dean of GSR.

11. Based on college annual research reports, the dean of GSR shall prepare a comprehensive AU annual research report and submit it to VCAA for approval. Once approved, DGSR send a copy of this report to the Office of Institutional Planning and Effectiveness (OIPE) at the end of academic year.

12. Outstanding researchers will be recognized and rewarded by the University on yearly basis.

13. AU will not tolerate research misconduct including fabrication, falsification or plagiarism in carrying out research or publishing its results.

14. The DGSR will hold workshops/seminars to spread awareness about research policies and procedures on a regular basis.

15. The DGSR will arrange research related trainings/workshops based on requests received from the colleges or as per need.

16. All support departments, including HR, Procurement, Budget, Internal Audit and Office of Finance, shall be made aware of the new DGSR policies.

a. Patents, Inventions and Commercialization of Research

1. All matters related to intellectual property (e.g. patents, inventions etc.) and any commercialization of research outputs or project, will be dealt as per Ajman University Intellectual Property (IP) policy.

2. Invention may include any discovery, process, method, design, computer software, app, biological material, technological development, culture of any organism etc. and any record or research considered inventive within the meaning of patent laws.

3. Inventor can be any faculty member, enrolled student(s), or staff employed by the Ajman University.

4. Any potential inventor is advised to contact directly to the dean of GSR at the first place to discuss any IP related matter. All such communications (either verbally or in writing) will be strictly confidential. The dean of GSR shall discuss such cases only with VCAA, AU Legal Advisor and Director of AU innovation Centre (AUIC), as needed.

5. The dean of GSR may refer applicant to the AUIC director or deputy director to further discuss any matters related to IP or commercialization of IP.

6. The AUIC director shall inform the DGSR about the progress of such applications, assist inventor in related matters and coordinate with other AU offices (such as Office of AU Legal Advisor), as needed, to ensure that the University remains in compliance with its IP related commitments as per IP policy. All such communications will be strictly confidential, and a prior approval is needed to forward application to anyone except VCAA, AU Legal Advisor or dean of GSR.

7. The AUIC also ensure that the invention is legally protected to the inventor as per University IP policy. The AUIC must deal all IP related matters in strict confidentiality.



Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Research Council
V 1.1	20/02/2013	Minor change – framework for planning and research clusters	Research, Information and Training Council
V 2.0	09/04/2017	New Policy	Dean of Graduate Studies and Research
V 2.1	21/10/2018	Minor changes to KPIs	Dean of Graduate Studies and Research
V2.2	30/09/2020	KPIs are removed from the policy	Dean of Graduate Studies and Research

Research Ethics Policy

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



1. 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 Graduate Studies and Research 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

4.1. 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.

4.2. 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.

4.3. 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.

4.4. 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

5.1. 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

5.2. 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 Graduate Studies and Research. 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 Graduate Studies and Research.

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		

AU Funded Research Grants Policy

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

Purpose

The reason for the policy is to guide Ajman University community in availing internally funded research grants. These grants are provided 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.

Scope

AU faculty and staff involved in research and scholarly works.

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
- b. category (such as AU A* or A), as defined in AU Guidelines for Research Publication, or
- c. proceedings of prestigious Scopus-indexed research conferences,
- d. That are likely to receive external funds in the near future,
- e. Align with the strategic research direction of the college, and directly link with any AU
- f. research centre,
- g. Principal Investigator (PI) has a successful track record of completing previous funded
- h. research grants,
- i. Research proposals with requested budget of less than 20,000 AED,

j. 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 HPRA 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;
- c. A fulltime faculty member in any university/institute.

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.

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.

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.

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.

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.

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	30/09/2020	New policy	Dean of Graduate Studies and Research

Research Travel Grants Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of Graduate Studies and Research
Approved By	Vice Chancellor for Academic Affairs (VCAA)	Effective Date	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 DGSR 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 DGSR 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 DGSR 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. [DGSR 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 DGSR) 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 DGSR 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 DGSR 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 DGSR coordinator/secretary on return.

13. The DGSR 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	30/09/2020	New policy	Dean of Graduate Studies and Research

External Research Grants Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of Graduate Studies and Research
Approved By	Vice Chancellor for Academic Affairs (VCAA)	Effective Date	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 DGSR and other relevant offices.
4. The DGSR will communicate, establish and develop ties with various national, regional, and international funding agencies and organizations.
5. The DGSR will inform faculty members about forthcoming research grant opportunities and their deadlines from time to time.
6. DGSR 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 DGSR will provide support letter to the faculty to submit with their applications, as applicable.
11. The DGSR 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 DGSR prior to the submission and keep DGSR 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. DGSR 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 DGSR.
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 DGSR to process further, providing required signatures or advise PI to get signatures, support letter/statement from the University etc.

5. The DGSR 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 DGSR will assist and contribute in negotiations between the Principal Investigator and the funding agency.
7. Faculty is responsible to keep informed DGSR about the progress of proposal.
8. Upon award of external funding for proposed project, the DGSR 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 DGSR 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 DGSR, 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 DGSR, 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 DGSR 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	30/09/2020	New policy	Dean of Graduate Studies and Research

Research Centers Policy

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

Purpose

The aim of Research Centres or Centres 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 centres 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 centres at Ajman University. This policy does not apply to other centres 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 centres.

Research Centre

A research centre is a formally structured unit of the AU, established under the administration of the DGSR, 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 centres also provide unique training opportunities for students in the research areas and serve as a valuable information source for the community at large.

Research centres 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. organise 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 centre; and
9. providing continuing education training to the community at large.

Policy Statements for Research Centre

1. College deans, in consultation with College Research Committee's (CRC) and College Council and Dean of Graduate Studies and Research 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 centre must have a host college and collaborating colleges.
3. Each research centre must have a name that provides an academic understanding of what the centre is about and its research area.
4. Research centres 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 centres to set strategies to enhance research outcomes and visibility of faculty research in a certain domain.
5. Every research centre 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 centre is vested with the dean of GSR and the VCAA.
6. The head of research centre shall report all matters related to research centre to the dean of GSR.
7. Research Centres shall be profiled on AU website and eventually evolve as Centre of Excellence in a particular area at AU.
8. Each research centre will be headed by a Head of Research Centre, a senior full-time faculty member in the host college. The head of research centre is in charge of the day-to-day running of the centre. The DGSR shall nominate the head of research centre and approved by the VCAA.
9. The University will provide financial support to hire following for the research centres,
 - 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 centre members are selected on the basis of their research interests, they may conduct their individual research related to the general theme of the research centre or collaborate with other members of the research centres 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 centre, based on request, activities of research centre, 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 centres 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 centre and the property of AU.
13. On occasion, research centres may involve formal research partnerships with other research centres, universities and/or institutions, with the support from DGSR and the Office of International Academic Affairs.
14. All AU research centres must conform to other AU policies and procedures as well as safety and ethics guidelines.
15. A criteria for the annual evaluation of research centre and template to report progress of research centres shall be provided by the DGSR, 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 centre) 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 centre. 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 centre 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 centre, by email and other internet technologies, attend all research centre 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 centre 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 centre. The head of research centre 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 Centre

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 DGSR further coordinate the process with colleagues in other colleges, to work together to establish an interdisciplinary research centre.
3. The head of research centre shall be proposed by DGSR and approved by the VCAA.
4. In approving the establishment of a research centre, the head of research centre shall submit a proposal to the dean of GSR. The proposal for the establishment of research centre must have following components:
 - a. Name of research centre,
 - b. A concise statement about the vision, and objectives of proposed research centre,
 - c. Organizational/Governance structure, that includes suggested head of research centre 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 centre, 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 centre in the next academic year research budget, after getting draft version of budget from the head of research centre.

b. Responsibilities of Head of Research Centre

8. The head of centre will exercise general supervision over the operation of the centre.

9. The head of research centre 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 centre;
- c. coordinate with the research group members and adjunct research associates;
- d. advocate research centre 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 centre and submit proposals to DGSR;
- g. arrange regular meetings to discuss research centre progress, documentation of research centre activities and updating research centre activities on the AU website;
- h. document and maintain a record of all minutes of meetings for research centre meetings;

c. Administration of Research Centre

10. Based on internal agreement between the research centre and the host college, the centre shall be provided with necessary administrative support from the host college.

11. The head of centre must prepare a tentative budget of centre 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 centre, the head of each research centre shall provide a detailed annual report directly to the dean of GSR.

13. The head of research centre is expected to give a short presentation at the start of each academic year summarizing major activities of research centre 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 centre in consultation with research centre 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 centre 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 centre.

17. The VCAA office shall send a part time service contract to the adjunct research associates and once signed, send confirmation back to the DGSR. The DGSR shall inform head of research centre, 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 centre. The head of research centre 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 Graduate Studies and Research

Full Time Research Associates

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

Purpose

Generally, research centres 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 DGSR 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 centres 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 centres 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 centre 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 centre.
6. Full time research associate or post-doc research fellow generally meet the following criteria:
 - a. Possession of doctorate (terminal) degree from a recognised 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 centre, 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 centre, 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 centre is responsible for the annual appraisal of full-time research associate/fellow.
10. The head of research centre 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 centre is established and budget is allocated to hire a research associate, head of research centre, in consultation with CRC chair and college Dean, shall prepare a job description and propose selection tools.
3. The head of research centre, 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 centre for his/her review.
5. Head of research centre 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 centre 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 DGSR.
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 DGSR for references from the most recent employer before sending offer letter.
9. DGSR shall communicate final decision to the head of research centre, 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 centre.
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 centre, and engage with other members in their projects or start new projects with other members, as appropriate;
 - d. manage the laboratory, equipment and research centre 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 centre annually. This must be included in the annual assessment of the research centre;
 - 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 FTTRA is encouraged to discuss issues, job performance, career aspirations, training needs and goals/targets for next academic year.

3. The head of research centre and college Dean (if applicable, e.g. if FTTRA was engaged in teaching) carry out the review with the FTTRA on a template provided by the DGSR, signed by the head of research centre, FTTRA and college Dean (if applicable).

4. The head of research centre 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 Graduate Studies and Research

Research Release Time Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of Graduate Studies and Research
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Oct. 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 on approved research budget.
7. 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.
8. 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

9. 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.
10. 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 utilised in the most efficient way. Longer term prospects shall be considered.
8. The CRC chair shall send the minutes of meeting (MoM) to DGSR 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	30/09/2020	Initial Policy	Dean of Graduate Studies and Research

Visiting Research Scholar Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of Graduate Studies and Research
Approved By	Vice Chancellor for Academic Affairs (VCAA)	Effective Date	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 mater 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.

AU Policies and Procedures

- 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 DGSR.
- The VCAA shall decide on all cases not provided for in this document.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	13/04/2018	New policy	Dean of Graduate Studies and Research
V 1.1	30/09/2020	Minor Change- Purpose is added	Dean of Graduate Studies and Research

AU Research Publications Reward Policy

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

Purpose

The Research Publications Reward Policy 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 SCOPUS-indexed publications.

Policy Statements

The AU research publications rewards are classified into the following 5 categories:

- Category 1: Papers Published in Scopus-Indexed Journals (Non-Arabic)
- Category 2: Publications of Books or Book Chapters
- Category 3: International Collaboration
- Category 4: Publications in Arabic Journals/Books
- Category 5: Citations

The financial incentives in all categories have been specified for research findings published in Scopus-indexed journals and/or books only (except category 4). The maximum financial reward for research publications received by an individual AU author in categories 1, 2, 3 and 4, shall not exceed 20,000 AED in one academic year. Exceptional cases, where all the research is published in SCOPUS Quartile-1 (75%-99%) journals, may be considered for a higher reward in Category-1 on a case-by-case basis and approval from the Vice Chancellor for Academic Affairs (VCAA) is required.

For open access research articles, where AU has contributed in the full payment of Article Processing Charges (APC), the research reward for all eligible AU author shall be reduced by 25% or amount of APC fee paid by AU, whichever is lower.

The eligibility criteria for research reward is as follows:

- At the time of reward, the applicant must be an employee of AU either as a faculty member or full-time research or teaching assistant, refer as AU author in this document.
- The applicant must use 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 in all categories.
- The research in all categories (with an exception of Category 4) should be indexed in SCOPUS.
- The research should be published during the dates advertised by the DGSR. Accepted papers/books/book chapters need to be submitted during the following year cycle.
- Any research published/submitted in conference proceedings is not eligible for the reward.
- Any research article/abstract/book chapter, which is presented in a conference is not eligible for a reward. However, if an extended version of a conference paper is accepted in a SCOPUS indexed journal, it can be submitted for AU publication reward. The applicant needs to clarify this and submit both conference and journal versions of the paper.
- The financial reward will be awarded to AU authors only i.e. AU faculty or full-time research or teaching assistants/associates only.
- For all categories, except category 4, the Journal/Book Chapter/Book must be indexed by SCOPUS at the time of submission of research work.

Category 1: Papers Published in Scopus-Indexed Journals (English)

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; 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 (2019) document.

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

SNN	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 4, the payment per AU author will be reduced (relative to Table 1) as per Table 2.

Table 2. Financial incentive for papers publishes in Q1-Q4 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%
3	Quartile 3 (25% – 49%)	40%
4	Quartile 4 (0% – 24%)	25%

A journal title might have a different quartile within different subject area it is included in. For example, International Journal of Pharmacy Practice is ranked in Pharmacy as 74% (Quartile 2, AU-B) while the same journal in Medicine is ranked as 45% (Quartile 3, AU-C). In this case, the decision is based on the researcher's field of specialization.

Authors are strongly encouraged to visit the SCOPUS website (www.scopus.com) and make sure that the Journal is indexed by SCOPUS. Please check the coverage period carefully before submitting an article for publication. The SCOPUS Quartile information may also change from time to time based on the SCOPUS evaluation criteria. If 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.

Category 2: Publications of Books or Book Chapters (SCOPUS-indexed)

- For a published book chapter, peer-reviewed and indexed by SCOPUS, each AU author shall receive a net amount of AED 2,000.
- For a published authored book, peer-reviewed (not editorial book or thesis) and indexed by SCOPUS, each AU author shall receive a net amount of AED 5,000.
- For a published edited book, peer-reviewed and indexed by SCOPUS, each AU author shall receive a net amount of AED 5,000 if at least one chapter of the edited book is authored by the AU author/editor.

Category 3: International Collaboration

Any eligible research output under Category 1 or Category 2 is eligible for an additional payment if one or more authors of the paper are from outside UAE. Research outputs from Category 4 (SCOPUS indexed only) are also eligible for a financial reward in this category. Faculty members are highly encouraged to collaborate with reputable and ranked universities only.

The additional payment in category 3 is 25% of the payment in category 1, 2 or 4.

Category 4: Arabic Publications

For Arabic language publications (journals or books), only the top peer-reviewed journals/publishers, which are categorized as AU-A or higher 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 DGSR. 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:

Table 3. Financial incentive for Arabic language publications

SN	Number of Authors Listed on Published Paper/Book	Payment per Paper/Book (AED)
1	N authors per Journal paper	2,000/N per AU author (Non-SCOPUS)
		4,000 per AU author (SCOPUS – Single Author)
		6,000/N per AU author (SCOPUS – More than one author)
2	N authors per Book	2,000/N per AU author (Non-SCOPUS)

Category 5: Citations

A financial reward will be given to AU author(s) for a SCOPUS-indexed article or non-edited book that has been extensively cited. The following criteria shall be met to submit nomination for this category reward:

- The paper must be published with correct Ajman University affiliation, as a primary affiliation, on the paper.
- The paper must be published during the latest 5 years e.g. during 2020, a window of 2015- 2019 will be used.
- Self-citations will be excluded.
- Only verifiable counts of citations from www.scopus.com are acceptable (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 5 can be submitted only once for any published research output if the output receives a certain number of citations (during the 5-year window), as defined in the following table:

SN	Number of Citations (from SCOPUS.com) excluding self- citations	Financial Reward (AED)
1	20 – 40	2,000
2	41 – 60	4,000
3	>60	6,000



Procedures

1. At the beginning of each academic year, the dean of Graduate Studies and Research (GSR) invites all faculty members through academic deans to apply for the AU research publication rewards in all categories. The dean of GSR informs the academic deans by email about the exact dates, determined according to the University academic calendar.
2. Faculty members submit their nominations in the mentioned categories as per the provided template and instructions.
3. The DGSR (or heads of CRC if nominated by DGSR) verify nominations for the adherence of eligibility criteria as per AU Research Publications Reward Policy. They may request additional information from the applicants, if required.
4. The dean of GSR reviews and verifies all nominations and forwards the reward payments to the Office of Human Resources.

Grievances

1. All appeals and disputes relating to AU research publications reward shall be sent directly to the DGSR.
2. The DGSR acknowledges the receipt of grievance to the applicant, and the dean of GSR forms an independent ad-hoc committee to investigate the grievance.
3. The ad-hoc committee submits observations and recommendations to the dean of GSR, 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 Graduate Studies and Research
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 Graduate Studies and Research
V 2.3	30/09/2020	Minor Changes on the Title and Procedures	Dean of Graduate Studies and Research

AU Authorship Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of Graduate Studies and Research
Approved By	Vice Chancellor for Academic Affairs (VCAA)	Effective Date	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 Graduate Studies and Research.

Policy Statements

- AU staff must abide by all research related standards drafted in other AU or Deanship of Graduate Studies & Research (DGSR) 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 Graduate Studies and Research 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 DGSR 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 Graduate Studies and Research
V 1.1	30/09/2020	Minor change on the policy title	Dean of Graduate Studies and Research

Research Article Publication Fee Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of Graduate Studies and Research
Approved By	Vice Chancellor for Academic Affairs	Effective Date	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 Graduate Studies and Research.
- 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 Graduate Studies and Research. 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 DGSR, 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 DGSR 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 DGSR, 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) DGSR notification of approval.

Translation charges

- Ajman University may contribute towards the payment of translation charges, based on a request submitted directly to the DGSR 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 DGSR, 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) DGSR 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 DGSR 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 DGSR 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 DGSR coordinator/secretary by submitting:
 - A copy of the approval notification from the DGSR;
 - 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 DGSR).
- The DGSR coordinator shall process the reimbursement application and facilitate the process.

Procedure related to Submission Fee

- Faculty members can raise informal enquiries to the DGSR 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 DGSR 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 DGSR 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 Graduate Studies and Research
	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 Graduate Studies and Research

Research Conferences Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of Graduate Studies and Research
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Oct. 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 DGSR 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 Centre.
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 Graduate Studies and Research.
7. The dean of GSR 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 DGSR.

Post-Approval Process

9. After receiving decision letter/email from the DGSR, 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 DGSR coordinator/secretary for reimbursement of requested funds. The DGSR 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 DGSR) 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 Graduate Studies and Research
V 1.1	30/09/2020	Revision- Addition of Purpose and Changes on the Policy Statements	Dean of Graduate Studies and Research

5. Faculty and Professional Staff



جامعة عجمان
AJMAN UNIVERSITY

Faculty and Professional Staff Role Policy

Policy Owner(s)	Human Resources Manager Senior Officer, Faculty Affairs	Responsible Office	Office of Human Resources
Approved By	Vice Chancellor for Academic Affairs	Effective Date	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)	Human Resources Manager Senior Officer, Faculty Affairs	Responsible Office	Office of Human Resources
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Apr. 2021
		Next Review Date	Apr. 2024

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
- All faculty members employed by the University must be competent in spoken and written English. They must also be familiar with the credit hour system of higher education and able to work with students from a variety of backgrounds.
- All faculty members must be competent in the use of computers for teaching and research purposes. They must also be familiar with academic advising and be able to contribute to the development of courses and curricula.
- AU employs faculty members 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. Candidates living abroad can be interviewed remotely.
 13. 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.
 14. If short-listed candidates do not fulfill the above criteria, the advertisement would be re-announced until suitable candidates are available.
 15. 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.

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

Faculty and Professional Staff Employment Legal Issues Policy

Policy Owner(s)	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Vice Chancellor for Academic Affairs Chief Operating Officer	Effective Date	Mar. 2021
		Next Review Date	Mar. 2024

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:

- a. Grievances are dealt with in a fair and timely manner; and
- b. 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.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	17/03/2021	Initial policy	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 Scheme

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.

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 Graduate Studies and Research (DGSR) 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 Graduate Studies and Research 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 Graduate Studies and Research 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 DGSR.
- 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	May 2021
		Next Review Date	May 2024

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.
- 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 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 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.

Miscellaneous

1. This Policy supersedes any other old related policies, procedures, minutes of the 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

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	10/05/2021	Initial Policy	Office of International Academic Affairs

Faculty Performance Evaluation Policy

Policy Owner(s)	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCCA
Approved By	Chancellor	Effective Date	Apr. 2021
		Next Review Date	Apr. 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.

Faculty Self-Assessment Report (FSAR) - [\(View Appendix 1\)](#)

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

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

Faculty Annual Performance Review - [\(View Appendix 2\)](#)

In line with Ajman University's commitment to faculty development and mentoring, and in order to achieve its expectations and processes for faculty mentoring and evaluation, the University continuously provides constructive feedback to its faculty through various channels. More precisely, the purpose of faculty performance review is to:

- 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.

Feedback and Evaluation Reports

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

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

- Where appropriate, Peer Review reports.

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

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

Evaluation of the Teaching Criteria

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

- a. Courses taught
- b. Contribution in course design and delivery
- c. Contribution in program/curriculum development. For textbooks, anthologies and software, indicate scope of dissemination, i.e., national or international
- d. Use of technology and modern methodologies to enhance teaching
- e. Supervision of undergraduate students' graduation projects and/or graduate theses and dissertations (Master and PhD) at the University or at an international institution
- f. Participation in special teaching activities outside of the University (i.e., international assignments, special lectureships, panel presentations, seminar participation). Also list international courses taught on campus.
- g. Other teaching accomplishments and contributions

Evaluation of the Research Criteria

Ajman University expects high quality research and scholarly contributions from each faculty member. The Faculty member should describe his/her achievements and contributions in the following aspects of research and scholarly activity:

- a. Articles/Papers (published, accepted or submitted) in refereed journals and/or creative work
- b. Articles/Papers (published, accepted or submitted) in refereed conference proceedings
- c. Books/Chapters of book (published, accepted or submitted)
- d. Supervision and Examining of postgraduate theses and dissertations (Master or Doctoral) at the University or an international institution
- e. Research projects, and internal and external research grants
- f. Other research accomplishments and contributions

Evaluation of the Service Criteria

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.

- a. Administrative positions held and membership of department, college and university committees
- b. External connections and partnership, fund raising campaigns, etc.
- c. Students' advising and career counselling
- d. Involvement in student co-curricular activities at a national or international level
- e. Contributions to AU visibility
- f. National or international professional activities undertaken as a practitioner or consultant
- g. Volunteer work for the national or international community
- h. Other national or international services that provided recognition to the University

All colleges are required to implement the guidelines of the faculty performance review policy. However, some flexibility will be granted to departments and colleges to accommodate their own specific requirements in their faculty performance appraisal. However, the weight of Teaching should be between 40% and 60% while Research weight should be at least 30% of the final evaluation rating in line with AU policy. A typical distribution of the weights is 50%, 30% and 20%, for Teaching, Research, and Services, respectively.

Overall Performance Review of the Faculty Member

The performance of faculty members in each of the three components will be rated as **Excellent (5 points)**, **Very Good (4 points)**, **Good (3 points)**, **Satisfactory (2 points)** and **Unsatisfactory (0 points)** based on the *Evaluation Criteria* defined in Appendix2.

Faculty Performance Review Process

- A faculty review committee is formed at the College level to coordinate and supervise the evaluation of faculty members' performance. The Committee shall, in particular decides on:
 - The relative weight of teaching, research and service activities for faculty performance appraisal.
 - Review marks distribution within each of the three review criteria (Teaching, Research, Service) proposed by each Head of Departments.
- The Review Committee is composed of the College Dean (chair) and Heads of Departments/Units (Members) and one external member from a different college (Observer).
- It is the responsibility of the Head of Department to complete the Evaluation Form and append it to the Faculty Self-Assessment Report (FSAR). The scoring will be shared with the faculty member. If the latter disagrees with the evaluation proposed by the Head of the Department and believes that it does not adequately reflect his/her performance, the case will be referred to the Review Committee.
- The faculty member is required to sign the Annual Faculty Report and the Evaluation Form to acknowledge receiving the decision of the Review Committee. In case he/she disagrees with the assessment, he/she may append a written statement or follow the grievance procedure.
- The Dean shall submit the performance evaluation results and the final recommendations of the Review Committee to the Vice-Chancellor for Academic Affairs for approval.

Appendix 1

Faculty Self-Assessment Report (FSAR)

Personal Information

Name

Academic rank

Department

College

Joining date

Title.....

Important notes

- As per AU policy, the assessment of faculty performance is based on Teaching, Research and Service.
- The main purpose of the Faculty Self-Assessment Report (FSAR) is to provide the basis for a yearly performance appraisal.
- It is mandatory for all faculty to complete this Faculty Self-Assessment Report (FSAR).
- The faculty member must ensure that all available evidence of his performance is submitted with this Report (updated CV, Course description for all courses taught, samples of teaching material, publications, service to AU and Community, and other appropriate documentation).
- The Faculty member is advised to read AU policy on faculty members' performance review.



I. Teaching

One of the most important factors in the teaching evaluation of faculty members is Course Files that shall also include the ICARs: Instructor Course Assessment Reports (*see Appendix 3*). All faculty members are required to submit Course Files for all courses taught by them in the past two semesters. In addition, the faculty member must describe his/her achievements and contributions in the following aspects of teaching activity at both graduate and undergraduate levels.

I.1 Courses taught

Spring Semester 20--/20--

Semester	Course ID	Course Title	No. of Students

Fall Semester 20--/20--

Semester	Course ID	Course Title	No. of Students

I.2 Contribution in course design and delivery

I.3 Contribution in program/curriculum development

I.4 Use of technology and modern methodologies to enhance teaching

I.5 Supervision of undergraduate students' graduation projects and/or graduate theses and dissertations (Master and PhD)

I.6 Other teaching accomplishments and contributions

II. Research

The faculty member should describe his/her achievements and contributions in the following aspects of research activity.

II.1 Articles/Papers (published, accepted or submitted) in refereed journals and/or creative work

II.2 Articles/Papers (published, accepted or submitted) in refereed conference proceedings

II.3 Books/Chapters of book (published, accepted or submitted)

II.4 Supervision and Examining of postgraduate theses and dissertations (Master or Doctoral)

II.5 Research projects, and internal and external research grants

II.6 Other research accomplishments and contributions

III. Service

The faculty member should describe his/her service contributions, which include service to the University, service to the profession and service to the community.

III.1 Administrative positions held and membership of department, college and university committees



III.2 External connections and partnership, fund raising campaigns, etc.

III.3 Students' advising and career counselling

III.4 Involvement in student co-curricular activities

III.5 Contributions to AU visibility through local and international media channels

III.6 Professional activities undertaken as a practitioner or consultant

III.7 Volunteer work for local community serving on community and professional boards

III.8 Other services that provide recognition to the University

Faculty member comments

Signature of Faculty Member:

Date:

(Your signature does not necessarily indicate that you are in agreement with the evaluation. Your signature only indicates that you have had the opportunity to review the evaluation and that you have discussed the content with your supervisor. You reserve the right to submit a written rebuttal of this evaluation to the dean within ten working days of this date).

Head of Department Comments:

Signature of Head of Department

Date:

Dean/Chair of Review Committee Comments:

Signature of the Dean/Chair of Review Committee:

Date:

Signature of Vice-Chancellor for Academic Affairs:

Date:

Comments of Vice-Chancellor for Academic Affairs (in case he does not agree with the assessment of the Dean):

Appendix 2

FACULTY ANNUAL PERFORMANCE EVALUATION

Purpose

In line with Ajman University's commitment to faculty development and mentoring, and in order to achieve its expectations and processes for faculty mentoring and evaluation, the University continuously provides constructive feedback to its faculty through various channels. More precisely, the purpose of faculty performance review is to:

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

Process Outline

- The faculty fills the form expressing a set of objectives for the academic year
- Faculty and HOD discuss the objectives, agree on the outcomes of three components - teaching, research and services - and decide on the appropriate weight for each component
- By the end of the academic year the HOD will have compiled, alongside faculty's self-assessment report (FSAR), all data related to the three components
- The HOD grades the three components and discusses results with the faculty who then approves and signs it, or appeals it before the dean

FACULTY MEMBER'S OBJECTIVES *(To be set at the beginning of the Review period)*

No.	Smart Objectives
1	Teaching Objectives:
2	Research Objectives:
3	Services Objectives:

Guidelines

The evaluation criteria given below is for faculty members holding terminal degrees. The evaluation is based on performance in three categories; teaching, research, and services. Teaching weight should be between 40% and 60% while Research weight should be at least 30% of the final evaluation rating in line with AU policy. This percentage may vary in order to accommodate specific University, College, and Departmental needs. In such cases, an amended weighting will be determined during the goal-setting meeting at the beginning of the academic year between the faculty member and the HOD. A typical distribution of the weights is 50%, 30% and 20%, for Teaching, Research, and Services, respectively.

A Faculty Member who joins the University after the start of the academic year should meet with their HOD at the beginning of the joining semester to reach an understanding about the percentage that will apply.

For Classroom/Lab courses, the availability and quality of the course file, instructor course assessment report, student evaluations and peer review of teaching shall be the basis of evaluation for Teaching. Any other evidence used must be made known to the faculty member.

The performance of faculty members in each of the three components will be rated as **Excellent (5 points)**, **Very Good (4 points)**, **Good (3 points)**, **Satisfactory (2 points)** and **Unsatisfactory (0 points)** based on the *Evaluation Criteria* defined in the tables below.

The overall score (out of 5) of the faculty performance is calculated as the weighted average of the ratings of the three components, as follows:

$$\text{Overall\_score} = \text{Teaching\_rating} * \text{Teaching\_weight} + \text{Research\_rating} * \text{Research\_weight} + \text{Services\_rating} * \text{Services\_weight}$$

If any of the components is rated Unsatisfactory then the above formula does not apply and **Overall_score** is set to 0.

As an illustration, if the weights and ratings of a faculty member are as follows:

Component	Teaching	Research	Services
Weight	50%	30%	20%
Rating	Very Good (4)	Very Good (4)	Excellent (5)

Overall score = $4 * 0.5 + 4 * 0.3 + 5 * 0.2 = 4.2$ (**Very Good**)

The overall rating is determined as follows:

Unsatisfactory: if any of the three components is rated Unsatisfactory

Satisfactory: if $2.0 \leq \text{Overall\_score} < 3.0$

Good: if $3.0 \leq \text{Overall\_score} < 4.0$

Very Good: if $4.0 \leq \text{Overall\_score} < 4.5$ **AND** Research rating is at least Good*

Excellent: if $\text{overall\_score} \geq 4.5$ **AND** Research rating is at least Very Good**

* If the Research rating condition is not satisfied then the overall rating is Good.

** If the Research rating condition is not satisfied then the overall rating is Very Good.

EVALUATION CRITERIA

TEACHING

Evaluation Weighting: Teaching will count as % (*HOD to complete*) of the overall performance rating. (*This is the percentage previously discussed with the Faculty Member.*)

Rating	Criteria
1: Unsatisfactory	A faculty member who fails to meet the criteria for satisfactory teaching. Indicators for this rating include the following: a. Faculty member does not provide feedback for examinations and other coursework in a timely manner b. Faculty member is not regularly available to students at posted office hours. c. Faculty member does not provide instructor course assessment report(s) and course file(s) in a timely manner d. Faculty member obtains student evaluations consistently below department/college averages
2: Satisfactory	A faculty member who meets minimum teaching expectations. A faculty member who earns a satisfactory rating in teaching (slightly below the college average) is expected to achieve all of the following: a. Meet the class at scheduled times unless there are extenuating circumstances b. Available in his/her office during posted office hours unless there is an unavoidable conflict c. Prepare examination questions and other coursework that appropriately cover CLOs d. Provide timely feedback for examinations and other coursework e. Effectively coordinate with other colleagues involved in team teaching a course or multiple sections of a course f. Effectively manage clinical teaching duties and control clinical activities g. Prepare and submit instructor course assessment report(s) and course file(s) of the course(s) taught in a timely manner

3: Good	A faculty member who performs above satisfactory levels. The faculty member consistently strives to foster a positive learning environment. The faculty member obtains student evaluations that are equal or better than the college average The faculty member meets the criteria for satisfactory teaching, and additionally meets any three of the following: - Effectively supervise student dissertations/theses (where applicable) - Readily available to students at times other than university mandated office hours for discussion and counseling. - Show evidence of continuous improvement of the content and delivery of all courses taught - Adjudged in his/her peer review of teaching to be an excellent teacher - Effectively coordinate with adjunct faculty, at HOD request, to ensure that the latter meets teaching requirements. - Verifiably try new pedagogical methods and technologies - Actively participate in at least one faculty development initiative focused on teaching and learning - Develop and/or successfully deliver a new program or course in support of the department or college mission - Share teaching best practices from conferences or workshops with faculty colleagues - Actively participate in interdisciplinary/interdepartmental curriculum integration - Mentor new and/or junior faculty - Actively participate in program, college or university accreditation efforts
4: Very Good	A faculty member who is verifiably recognized by students and his/her line manager as a very good teacher. - The faculty member consistently obtains student evaluations above the college averages. - The faculty member meets the criteria for satisfactory teaching, and additionally meets any five of the “good” criteria.
5: Excellent	A faculty member who is clearly excellent in the classroom compared with his/her colleagues. The faculty member consistently obtains student evaluations that are significantly higher than college and department averages in all the courses he/she teaches. The faculty member meets the criteria for satisfactory teaching, and additionally meets at least seven of the “Good” criteria.



HOD Rating and Comments on Teaching:

☐ *Excellent* ☐ *Very Good* ☐ *Good* ☐ *Satisfactory* ☐ *Unsatisfactory*

Comments:

RESEARCH

Evaluation Weighting: Research will count as % (*HOD to complete*) of the overall performance rating. (*This is the percentage previously discussed with the Faculty Member.*)

Rating	Criteria
1: Unsatisfactory	No significant scholarly production during this year and last academic year; i.e. not meeting the “Satisfactory” rating requirements below.
2: Satisfactory	- One accepted/published paper or case study in a C journal, as classified in AU Guidelines for Research Publications, during this and the last academic year OR - Publication of a full paper in Scopus indexed conference proceedings during the academic year. OR - One refereed creative work or exhibit during the academic year as listed in the following List of Creative Outputs OR <i>TWO of the Following</i> during the academic year: <u>Presentation of a paper in an approved conference</u> (based on an Abstract). - Significant development of a research project as attested by the College Research Committee - Approval of internal research grant. - Publication of a book or a book chapter with a reputed publisher. - Approval of internal research travel grant.



3: Good	• One accepted/published paper or case study in a B journal, as classified in AU Guidelines for Research Publications, during the academic year OR • One refereed creative work or exhibit during the academic year as listed in the following List of Creative Outputs AND <i>One of the Following during the academic year:</i> • Publication of a <u>full paper in Scopus indexed conference</u> proceeding. • Publication of editorials or research comments in professional or academic publication. • Publication of a book or a book chapter with a reputed publisher, as per criteria outlined in AU Guidelines for Research Publications. • Approval of internal research grant. • Approval of internal research travel grant.
4: Very Good	• One accepted/published paper or case study in an A journal, as classified in AU Guidelines for Research Publications, during the academic year OR • Major refereed creative work or exhibit of national importance during the academic year as listed in the List of Creative Outputs. AND <i>One of the Following during the academic year:</i> • Publication of a <u>full paper in Scopus indexed conference</u> proceeding. • Co-investigator or PI on an external research grant. • Publication of a book or a book chapter with a reputed publisher, as per criteria outlined in AU Guidelines for Research Publications. • Approval of internal research grant • Approval of an internal research travel grant

5: Excellent	• Two accepted/published papers or case studies in A journal, as classified in AU Guidelines for Research Publications, during the academic year OR • One accepted/published paper or case study in an A* journal, as classified in AU Guidelines for Research Publications, during the academic year OR • One major refereed creative work or exhibit of international importance during the academic year as listed in the following List of Creative Outputs AND One of the Following during the academic year: • Publication of a full paper in Scopus indexed conference proceeding. • Co-investigator or PI on an external research grant. • Publication of a book or a book chapter with a reputed publisher, as per criteria outlined in AU Guidelines for Research Publications. • Approval of internal research grant. • Approval of internal research travel grant.



***Note:**

1. "Scholarly books" exclude text books used for teaching purposes or practitioners books. The focus is on books that contribute to research. Practitioner books and text books should be included under "Service".
2. Creative works or exhibits are specific to the fields of Architecture, Art and Design only.
3. Creative works or exhibits of international importance: Where it is clear that the particular creative works have impact on international level, or where fellow practitioners independently accredit the creative works as of high quality through formal documented process or significant award or honor.
4. "Significant development of a research project" should be attested (with a justified evidence) as such by the Head of the College Research Committee.
5. Any accepted/published paper or case study in an approved and indexed peer reviewed journal with a minimum Scopus ranking of Q4, or at least C ranking on ABDC may be counted as a full paper in Scopus indexed conference proceeding.
6. Accepted/published papers or case studies in Arabic journals that are not Scopus-indexed will only be accepted if they are listed in the Arabic journal classification list approved by the University.

List of Creative Outputs

1. Creative work that won national or international architecture, art and design competitions (1st, 2nd or 3rd prize).
2. Design of innovative furniture or other industrial products.
3. Certificate of patent/invention related to architecture, art and design.
4. Creative and innovative design work, such as villas, hotels, malls, shops, coffee shops and restaurants.
5. Demonstrated original art or design exhibitions at national or international level in authorized galleries, museums, governmental or private well-recognized organizations and national or international exhibitions.
6. Completion of architectural project including letter from consultancy or client. Project size and complexity must be part of referees' input.
7. Renovation and restoration of old or historic buildings.
8. Specialized work such as sustainability, feasibility, shading, acoustics or lighting

HOD Rating and Comments on Research:

☐ *Excellent* ☐ *Very Good* ☐ *Good* ☐ *Satisfactory* ☐ *Unsatisfactory*

Comments:

SERVICES

Evaluation Weighting: Services will count as % (*HOD to complete*) of the overall performance rating. (*This is the percentage previously discussed with the Faculty Member.*)

Service: Faculty evaluation or appraisal in the service domain will be rated as needs improvement, satisfactory, good, very good or excellent. This rating will be objectively evaluated at the end of the academic year. The evaluation process will be based on a written report submitted by the faculty to the head of department supported by documented evidence of his/her performance and tasks accomplished.

Evaluation	Criteria
1: Unsatisfactory	- Not involved in any service activities to college or university. - There is no evidence of professional activity at this level. The faculty member does not meet many of the satisfactory level requirements for Service.
2: Satisfactory	A faculty member that fails to meet minimum expectations for service within the department and college can have their service evaluation reduced even if some higher-level service activities are present, unless otherwise information is provided to the Dean directly from the Chancellor or VCAA based on service assignments The minimum expectations for service include the following activities: - 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. - Effective service on departmental /unit committees as rated by the chair of that committee - Regular attendance at department and college meetings - Being a member in a professional organization - Providing assigned advisees with academic advising that is judged as effective by unit director (e.g. meeting with interested students and providing knowledgeable curricular advice)
3: Good	- In addition to meeting the minimum expectations for service, a significant level or number of professional or service activities can be used as evidence of satisfactory performance such as the following: Professional Activity - Attendance at one professional meeting based on a specific invitation or nomination - Participation in a professional development activity related to the Faculty Development Plan from the previous year. Professional activities are those activities, which contribute to the teaching and/or research capabilities of the faculty member. It must be a documented activity, which is approved by the unit chair.

	Community service - Community service judged as significant by departmental chair/directors - Effectively serving on one or more active University committees and/or College judged as being significant by unit chairs. - Providing student advising judged as effective (meeting with a significant number of advisees and providing knowledgeable curricular advise) by unit director. - Student placement or recruitment activity judged as significant by unit director. - Serving as a session chair or serving in a voluntary capacity at a significant national or regional conference - Effectively teaching an assigned overload course or regional campus - One outside committee OR one admin job
4: Very Good	- In addition to meeting the minimum expectations of service, a significant level or number of activities such as those listed below can be used as evidence of above average performance. - A faculty member earning a very good in service will meet the minimum expectations for service and typically be engaged in some good level service activities: <u>Professional Activity</u> - Participating in a faculty internship, or involvement in a project judged as significant by unit director - Organizing a conference, workshop, session, or panel judged as significant by unit chairs/directors. - Book and manuscript reviewing judged as significant by unit director - Attendance at multiple professional conferences - Holding an office or serving as a member on an active committee or board of a professional organization (i.e., the group met at least once during the year or that the position required some work) - Effectively serving on the editorial board of a journal <u>Service Activity</u> - Effectively chairing an active departmental committee or task force that is judged as significant by unit director - Effectively leading a special departmental project judged as significant by the unit director - Effectively serving as advisor to an active club or student organization as determined by the members of that club or student organization - Alumni relations/fund-raising activity judged as significant by unit director - Career advising efforts judged as significant by unit director - Serving in a leadership role for student advising - Participation on a department or university committee that required a significant amount of time and effort. - Engaging in an above average number of unreported service activities (e.g. extra classes without compensation, etc. - One university's Committee OR one outside committee and another admin job



5: Excellent

A significant level and number of professional or service activities listed below can be used as evidence of excellent performance.

- A faculty member earning excellent in service will meet the minimum expectations for service and typically be engaged in some good and very good level service activities.
- A faculty member earning excellent in service must also be engaged in some internal service activities for the department or college.

Professional Activity

- Effectively serve as the editor or assistant editor of a peer-reviewed journal
- Organizing and successfully presenting a program
- Effectively serving as member in or chairing a significant university or national committee
- Effectively serving as a chair at a national or regional conference
- Organizing and successfully presenting a conference, workshop, session, or panel judged as outstanding by unit director.

Service

- Effectively heading a college unit and submitting an annual report summarizing the activities and accomplishments of the unit.
- 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
- Serving effectively as a program director without release time
- Effectively chairing an active university committee or task force
- Engaging in a significant number of unreported service activities (e.g. extra classes without compensation, etc.)
- Serving as a trained teaching mentor for a college faculty member. This level of mentoring would typically be characterized by a close working relationship between the mentor and mentee and require significant time and effort while engaged in a formal and rigorous teaching development process.
- Serving effectively in two or more university committees OR one committee and another admin job (must be specified) OR Community service (internal or external).

HOD Rating and Comments on Services:
☐ *Excellent* ☐ *Very Good* ☐ *Good* ☐ *Satisfactory* ☐ *Unsatisfactory*
Comments:
Scores and Ratings by HOD:

Component	Teaching	Research	Services
Weight	xx %	yy %	zz %
Rating			
Overall	Score (out of 5)		Rating

Final Scores and Ratings Approved by the Dean:

Component	Teaching	Research	Services
Weight	xx %	yy %	zz %
Rating			
Overall	Score (out of 5)		Rating

Signature of Dean: _____ Date: _____

Signature of Faculty: _____ Date: _____



Appendix 3

Instructor Course Assessment Report (ICAR)

1. General Information

Instructor Name:			
Semester:			
Course Number:		Course Name:	
Course Delivery Format (Theory, Lab, Tutorial): (2, 2, 3)			
Section Number:	☐ Male	☐ Female	Number of Students:
Average Mark for Section:			

2. Students' Perceptions

a. Students' Feedback with Respect to Course Related Issues

#	Question	Satisfaction Rate
Q1	I had an adequate background for this subject. كانت لدي خلفية مناسبة عن هذا المساق.	
Q2	Coursework assignments and projects were helpful to understand the subject. كانت الأعمال الفصلية والمشاريع مفيدة لفهم هذا المساق.	
Q3	I found the course useful. كان المساق مفيداً لي.	
Q4	Textbook and references assigned to this course were appropriate and useful. كان الكتاب الدراسي والمراجع المخصصة للمساق مفيدة ومناسبة.	

b. Students' Feedback with Respect to Course Instructor

#	Question	Satisfaction Rate
Q1	The instructor presented the material well and clearly. قدّم أستاذ المساق المادة الدراسية بشكل جيد وواضح.	
Q2	The instructor was well-prepared for the lectures. كان الأستاذ مستعداً بشكل جيد للمحاضرة.	
Q3	The instructor started and ended the lectures on time and was regular. التزم الأستاذ بمواعيد بدء المحاضرات وانتهائها وكان مواظباً عليها.	

Q4	<i>The instructor was available and helpful during posted office hours.</i> كان الأستاذ حاضراً خلال الساعات المكتبية المعلنة.	
Q5	<i>The instructor was fair in the evaluation of students' course work.</i> كان أستاذ المساق منصفاً في تقييم الامتحانات والأعمال الفصلية.	
Q6	<i>The lectures were given in only one language (English or Arabic).</i> كانت المحاضرات تقدم بلغة واحدة (العربية أو الإنجليزية).	
Q7	<i>The instructor identified the course learning outcomes clearly.</i> شرح الأستاذ مخرجات المساق بأسلوب واضح.	
Q8	<i>The instructor encouraged interaction with students, listened to them, and responded to their questions.</i> كان الأستاذ يشجع على التفاعل في المحاضرة ويتجاوب مع أسئلة الطلبة.	
Q9	<i>The instructor evaluated the students' work in a timely manner.</i> قَيَّم الأستاذ أعمال الطلبة في الوقت المناسب.	
Q10	<i>Overall, the instructor's performance in this course was excellent.</i> بصورة عامة، كان أداء الأستاذ في هذا المساق ممتازاً.	

c. Students' Feedback with Respect to Lab/Studio/Clinic Instructor (if available)

54. If the course does not include Lab/Studio/Clinic, please respond with N/A إذا لم يتضمن المساق على معمل/عيادة/استوديو برجاء اختيار N/A	56.

#	Question	57. Satisfaction Rate
Q1	<i>The lab/studio/clinic instructor presented the practical material well and clearly.</i> قدّم الأستاذ المادة العملية بشكل جيد وواضح.	
Q2	<i>The instructor was well-prepared for the lab/studio/clinic sessions.</i> كان الأستاذ مستعداً بشكل جيد للمختبر/العيادة/الاستوديو. 59.	
Q3	<i>The instructor started and ended the lab/studio/clinic on time and was regular.</i> التزم الأستاذ بمواعيد بدء وانتهاء المختبر/العيادة/الاستوديو وكان مواظباً عليها.	
Q4	<i>The instructor was fair in the evaluation of students' work in lab/studio/clinic.</i> كان الأستاذ منصفاً في تقييم الامتحانات والأعمال الفصلية للمختبر/العيادة/الاستوديو. 62.	
Q5	<i>The instructor took interest in developing students' practical skills and answered their questions.</i> كان الأستاذ يشجع التفاعل في المختبر/العيادة/الاستوديو ويتجاوب مع أسئلة الطلبة.	
Q6	<i>The instructor evaluated the students' work in a timely manner.</i> قَيَّم الأستاذ أعمال الطلبة في الوقت المناسب.	
Q7	<i>The equipment/components/material available in the lab/studio/clinic were sufficient and in good working condition.</i> كانت المعدات/المواد الموجودة في المختبر/الاستوديو/العيادة كافية وتعمل جيداً.	



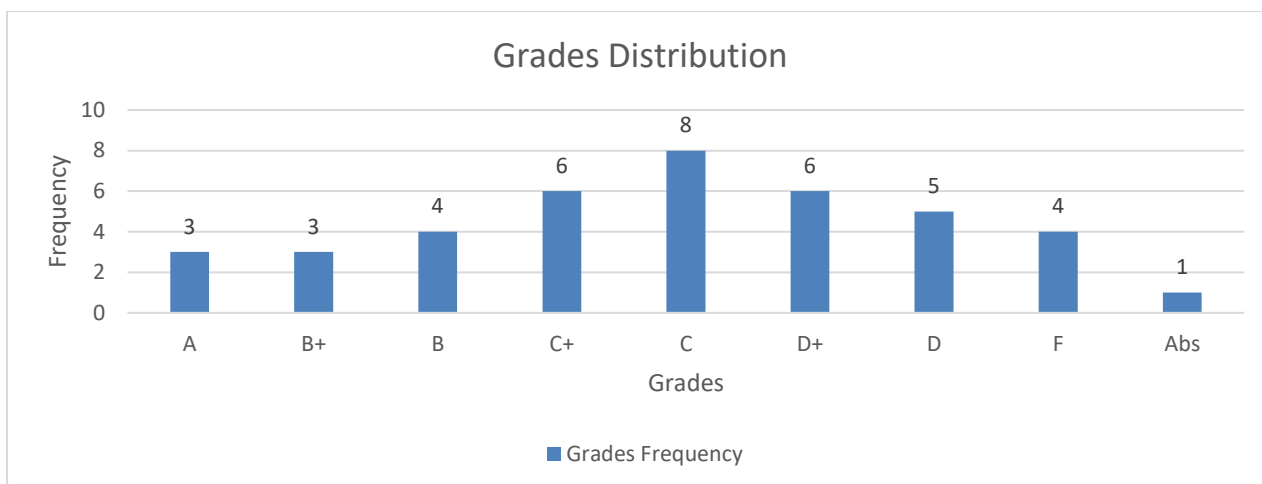
Q8	Overall, the instructor's performance in the lab/studio/clinic was excellent. بصورة عامة، كان أداء الأستاذ في هذا المساق ممتازاً.	

d. Students' Feedback with Respect to Course Learning Outcomes:

Course Learning outcomes (CLOs)	Average Score
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	

Instructor's Course Assessment

a. Grade Distribution



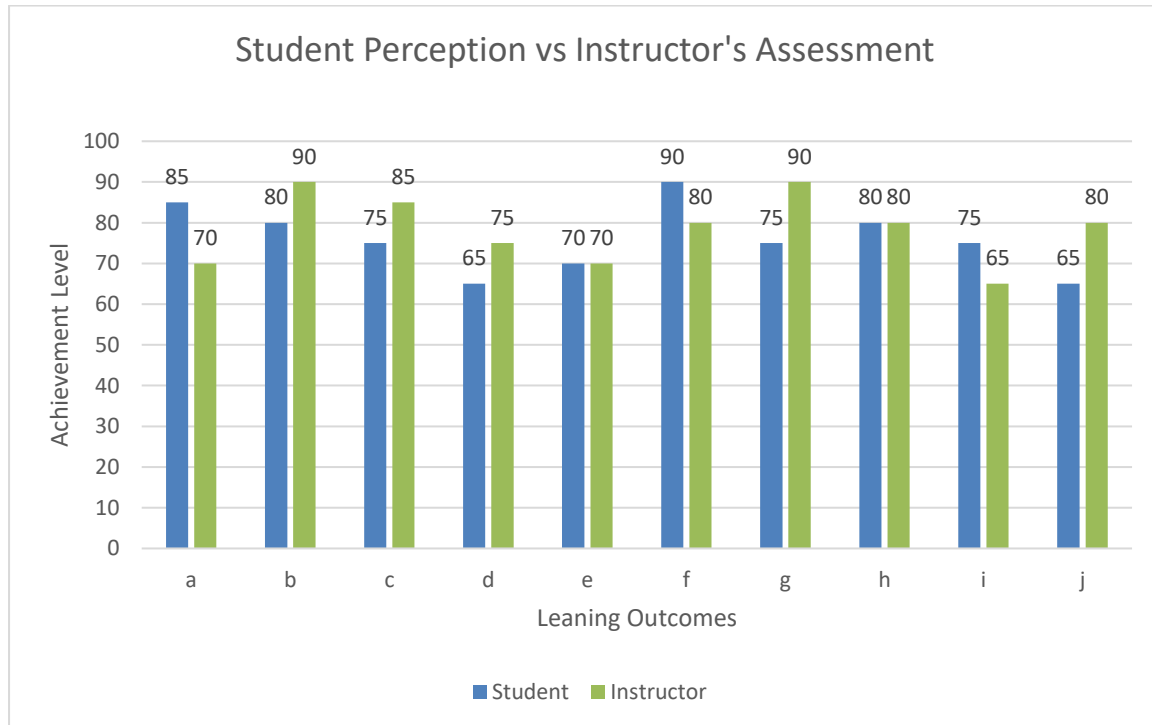
Comments on Grade Distribution:

Course Learning Outcomes Assessment (Using the CAP Program)

Course Learning Outcomes	Average Score
1.	
2.	
3.	
4.	
5.	
6.	
7.	



b. Graph Representation of Student – Instructor Assessment of Course Learning Outcomes



d. How do students' perceptions concerning course learning outcomes differ from their assessment by the course instructor? Please comment on any discrepancy:

5. Continuous Quality Improvement

a. Improvements relative to previous offering of the course:

Course Learning Outcomes NOT Attained in the Last Offering (Semester: 20... - ...) (ex: 2017-2) (Can be obtained from Head of CEC Committee or IE Coordinator)	Approved Actions for Improvements by ACIC and CEC Committees	Feedback on Actions Implemented this Semester by Instructor and their Effectiveness

b. Recommended improvements for course learning outcomes not achieved in the current offering if any:

Course Learning Outcomes NOT Attained in the CURRENT Semester	Suggested Actions for Improvements by Course Instructor

c. General Feedback by Instructor for improving students' learning experience:

Item	Instructor's Comments
a. Appropriateness of the course learning outcomes مدى ملائمة مخرجات المساق التعليمية	
b. Extent to which the syllabus was covered مدى نطاق تغطية عناصر المقرر	
c. Appropriateness of textbook and other learning resources مدى ملائمة الكتاب الدراسي والموارد التعليمية الأخرى	
d. Appropriateness of prerequisites مدى ملائمة المتطلبات المسبقة	



d. Learning barriers and general comments on issues encountered in the course, if any:

Instructor's Signature

Date

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 2.0	25/05/2017	Major change to criteria, rubric, and procedure	Vice Chancellor for Academic Affairs
V 2.1	20/02/2019	Minor change with adjustments to evaluation criteria	Vice Chancellor for Academic Affairs
V 2.2	13/04/2021	Minor changes with adjustments to evaluation criteria	Vice Chancellor for Academic Affairs

College Dean Performance 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 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.
- Identifying and resolving conflicts affecting the college.
- 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	Oct. 2020
		Next Review Date	Oct. 2023

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.
6. For promotion to the rank of Professor, the applicant has published minimum of six peer-reviewed indexed research papers; at least five of these papers are published in reputed and ranked journals,

and at most one paper is published in the proceedings of a prestigious conference. Alternatively, the applicant for promotion to the rank of Professor has published at least four refereed research papers (at least three in reputed and ranked journals) and produced at least two creative works from the list of creative works provided in this policy.

7. Other applicable conditions are as follows:

- a. The number of research papers published by the same refereed journal shall not exceed two except for very high-quality journals, such as SCOPUS-Q1 journals.
- b. The contents of the research papers or creative work should not be copied from the applicant's Master's and PhD theses. In addition, for promotion to the rank of Professor, the papers should not be based on the material used for promotion to the rank of Associate Professor. Similarly, for promotion to the rank of Principal Lecturer, the scholarly output should not be based on the material used for promotion to the rank of Senior Lecturer.
- c. In case of application for promotion to the rank of Associate Professor, at least one of the submitted research papers or creative work must be either individually authored by the applicant or with only one co-author/contributor. Alternatively, for at least one research paper, the applicant must be the first author of the paper. For other papers or creative work, the total number of authors/contributors must not exceed four. A paper or creative work will be considered to have 50% weight if the number of authors/contributors for that paper is five or more. Two papers or creative works with 50% weight shall be considered equivalent to one paper or creative work in terms of fulfilling the requirement of number of publications or creative works.
- d. In case of application for promotion to the rank of Professor, at least two of the submitted research papers or creative works must be either individually authored by the applicant or with only one co-author/contributor. Alternatively, for at least two research papers, the applicant must be the first or second author of the paper. For other papers or creative works, the total number of authors/contributors must not exceed four. A paper or creative work will be considered to have 50% weight if the number of authors/contributors for that paper or creative work is five or more. Two papers or creative works with 50% weight shall be considered equivalent to one paper or creative work in terms of fulfilling the requirement of number of publications or creative works.
- e. Only one unpublished research paper that has been accepted for publication in a reputed and ranked journal or prestigious conference proceeding may be submitted for consideration.
- f. At most one refereed research paper published in the proceeding of a prestigious scientific conference shall be accepted.
- g. Research papers published in electronic journals shall be accepted if the electronic journal is refereed and ranked and the publication is approved by the College Research Committee (CRC) and the Dean. Papers published in questionable "pay-to-publish" journals shall not be accepted.
- h. A patent shall be considered as a research paper, provided the applicant demonstrates that the patent registration is under the applicant's name. In this case it shall not be sent to a jury and shall be rated as Excellent.
- i. At least two of the submitted research papers or creative works must be authored/produced while the applicant is employed at Ajman University.

- j. All the submitted research papers must deal with the applicant's specialization/discipline. However, one high-quality educational/pedagogical peer-reviewed research paper may be considered.
 - k. The Dean may refer to the College Research Committee (CRC) to ascertain the quality of the journals and conference proceedings in which the applicant has published his/her research work. The CRC shall refer to AU publication guideline document for classifying the journals in various categories (such as AU A*, A, B or C)
8. The list of Creative Outputs approved by the University are as follows:

List of Creative Outputs

1. Creative work that won national or international architecture, art and design competitions (1st, 2nd or 3rd prize).
2. Design of innovative furniture or other industrial products.
3. Certificate of patent/invention related to architecture, art and design.
4. Creative and innovative design work, such as villas, hotels, malls, shops, coffee shops and restaurants.
5. Demonstrated original art or design exhibitions at national or international level in authorized galleries, museums, governmental or private well-recognized organizations and national or international exhibitions.
6. Completion of architectural project including letter from consultancy or client. Project size and complexity must be part of referees' input.
7. Renovation and restoration of old or historic buildings.
8. Specialized work such as sustainability, feasibility, shading, acoustics or lighting

Article 13: Promotion Procedure

The procedure for promotion to the ranks of Associate Professor and Professor is as follows:

- a. The applicant sends a letter of intention to the Dean who forwards it to the VCAA.
- b. The VCAA, after validating the eligibility of the applicant, sends a letter to the Dean to confirm or deny eligibility based on the requirements for promotion to the desired rank.
- c. The Dean informs the applicant about the eligibility status with a copy to the VCAA.
- d. Applicant submits his/her complete dossier to the HOD.
- e. The HOD (or senior faculty member appointed by the Dean if HOD is the applicant) forms an ad-hoc committee at the department level which evaluates/assesses the submitted dossier.
- f. The ad-hoc committee submits its report to the HOD (or to senior faculty member appointed by the Dean if HOD is the applicant) who reviews the report of ad-hoc committee and submits his/her recommendation to the Dean along with the complete dossier. If the Dean is the applicant, then HOD shall submit the report along with his/her recommendation and the dossier to the FPC.



- g. HOD submits a list of 10 external reviewers to the Dean. If the HOD himself/herself is the candidate for promotion, then the Dean shall ask a senior faculty in the department to provide the list.
- h. The Dean is responsible for sending invitations to external reviewers and should form a jury of 3 external reviewers selected from the list of 10 reviewers. The Dean shall be responsible for all communication with the reviewers throughout the review process until it is complete. If the Dean himself/herself is the candidate for promotion, then the College Council, without the presence of the Dean, shall select the three reviewers from the list provided by the HOD. Also, in this case the FPC shall send invitations to external reviewers and be responsible for the review process until it is complete.
- i. The Dean receives the reports of the external reviewers. The Dean reviews these reports as well as the report of the department ad-hoc committee and the recommendation of the HOD, and writes his/her own report. After giving the grades for each of the three categories (teaching, research, service), the Dean submits the complete file (which includes the reports of the external reviewers and department ad-hoc committee as well as HOD's and Dean's recommendations) to the VCAA. The VCAA shall forward the complete file to the FPC.
- j. The FPC shall review the complete file and send its observations and recommendation to VCAA.
- k. The VCAA makes the final decision

The procedure for promotion to the ranks of Senior Lecturer and Principal Lecturer is as follows:

- a. Upon completion of a minimum of five years of serving in the position of a Lecturer/Senior Lecturer, the candidate will submit the application for promotion to a higher rank along with complete portfolio to the HOD.
- b. The HOD shall form an ad-hoc committee in the department to evaluate/assess the submitted portfolio.
- c. The ad-hoc committee shall submit its report to the HOD who, after reviewing the report, shall submit his/her recommendation to the Dean along with the portfolio.
- d. A Committee formed by the Dean shall assess the candidate based on the above-mentioned criteria and submit its report to the Dean.
- e. The Dean shall submit the promotion recommendation to the Vice Chancellor for Academic Affairs who shall confirm or deny the promotion to the rank of Senior/Principal Lecturer

Article 14: Weightage of Teaching, Research, and Service

The weights for teaching and research shall account for 70% of the total grade while service shall account for 30% of total grade. For teaching and research, the weight for each shall be in the range of 30-40%. The applicant can choose, in consultation with the Dean, the weight for each provided that the total for these two categories is 70%.

Article 15: Grading Criteria

The grading shall be carried out provided the applicant meets the conditions set forth in the Promotion Criteria mentioned in Article 12. Otherwise, the application for promotion shall be rejected. For eligible applicants (i.e. those satisfying the conditions set forth in Article 12), the grading criteria is as follows:

- **Teaching:**

The teaching grade shall be given by the Dean on the basis of students' evaluation, teaching effectiveness, and quality of course files/portfolio, as explained below. In this regard, the Dean shall also receive input from the HOD.

Students' Evaluation: The Dean shall determine the grade based on students' evaluation related to teaching and learning. This shall account for 40% score in teaching category.

Teaching Effectiveness: The applicant shall provide evidence of teaching effectiveness in terms of effective teaching methodologies employed in classroom, major revisions of existing courses, development of curriculum, updating of labs, clinics, studios (as applicable), development of students' skills and competencies, fair and consistent grading policy, etc. The Dean shall consider all these factors in giving a grade for teaching effectiveness. This shall account for 40% grade in the teaching category.

Course Files/Portfolio: The applicant shall submit the course files or portfolio for all courses taught during the past one year (fall and winter semesters) and clinics or studios, etc. supervised. For this, the Dean shall give a grade with maximum score of 20% in the teaching category.

- **Research:**

For each reviewed research paper or creative output, the external reviewers shall give a score out of 100. Each paper with 50% weight (paper with five or more authors) will be given a score out of 50. Depending upon the required number of publications, as stated in Article 12, the papers or creative outputs with highest scores will be considered by the Dean to give a final percentage grade. For each paper or creative output with 50% weight, the scores of two such papers will be considered equivalent to one paper.

- **Service:**

The Dean shall give a service score for each of the following three categories:

- Department, College and University service (out of 60)
- Academic, professional, and community service activities outside AU (out of 20)
- Contribution to students' co-curricular activities (out of 20)

Article 16: Success Criterion

After determining the percentage grades in teaching, research, and service and considering the relative weights for each of these three categories, the Dean shall determine the overall weighted score in percentage. To be successful, the applicant shall obtain at least 75% overall weighted score. In addition, for promotion to the Associate Professor rank, the applicant must obtain at least 70% score in the research category, while for promotion to the Professor rank, the applicant must obtain at least 80% score in the research category.

Article 17: Decision by the VCAA

1. The Dean, after determining the percentage score of the applicant in each category as well as the overall weighted score in percentage, shall make a recommendation based on the above-



mentioned success criterion and submit the recommendation along with all evaluation documents (including reviewers' reports) to the VCAA for further action.

2. The VCAA shall forward the applicant's file (including the report of the Dean and the reviewers' reports) to the FPC. The FPC will review the qualifications of the applicant as required for promotion, fulfilment of all evaluation process requirements, and accordingly prepare a report taking into consideration the Dean's recommendation. Otherwise, the FPC will notify any 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 Centre for archiving purposes.

Article 18: Effects of Promotion

All non-financial effects of the decision of promotion shall be applicable immediately after the approval of promotion by the VCAA. However, all financial effects shall be applicable as from the beginning of the following academic year.

Article 19: Re-application for Promotion

- a. If the application is rejected, the applicant may re-apply for promotion in the following academic year.
- b. If the application for promotion is rejected for two consecutive times, the Dean may accept to review the application for a third and final time, at least one year after the second application was rejected. The applicant shall bear all the costs related to processing of his/her third application.

Section V: Appeals

Article 20

The applicant can submit an appeal against the promotion decision to the University Chancellor, within one month from the date he/she is notified of the rejection decision. The University Chancellor may reject the appeal or form a committee to handle the appeal.

Section VI: Amending the Policy

Article 21

The articles of this Policy may be reviewed any time after one year from its entry into force, upon the directive of the Vice-Chancellor for Academic Affairs.

Appendix: Timetable for Promotion Process

No.	Procedural Step	Deadline

1	Applicant submits letter of intent to the Dean	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

Staff Training and Development Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chief Operating Officer	Effective Date	Jan. 2018
		Next Review Date	Jun. 2021

INTRODUCTION

At *Ajman University (AU)* - 'Training and Development' plays a quintessential part towards achieving the mission of 'nurturing the talent and potential of every employee (Academics and Administration), which in-turn helps in achieving the goals and professional objectives of the individual and the university alike.

At AU - Training on one hand targets specific goals, for instance understanding a process and operation of a certain machine or a system; Development, on the other, puts emphasis on broader skills, which are applicable in a wide range of situations, which includes communicating effectively, solving-problems imaginatively, make-decisions efficiently, thinking creatively and managing-people resourcefully.

The purpose of this policy document is to provide –

- AU with tools and methodologies to help in 'developing and optimizing' the 'talent asset' of the university;
- To provide the 'Training and Development' team with the required policies, procedures, guidance and templates to conduct the 'Training' activity seamlessly with a strategic direction.

AU's 'Training and Development Policy' has been designed on the basis of the following principles:

- Strategic Alignment: Training and Development activity is conducted with a clear comprehension of the strategic requirements and direction of AU;
- Career Progression: Ample opportunity to be provided for each employee to improve and enhance their skills and competencies;
- Simplicity: A user-friendly interface and system that can be easily understood, implemented and used;
- Continuous Improvement: An open environment where processes and systems may be formally improved under the guidance of the 'change management mechanism'.

POLICY DESCRIPTION

APPLICABILITY

Applicable to all Administrative Staff of AU.

OBJECTIVES

- To clearly define and outline the 'training and development' processes and their sub-methodologies;
- To provide the Training and Development team with a transparent, dynamic and scalable framework which fosters efficacy and timeliness in the conduction of training and development sessions; and
- To thrive a strong 'Retention Mechanism' to develop and retain the best talents available in the University.

EXCEPTION

There shall be no exceptions to this policy. All exceptions and deviations to this policy will require the approval of the COO.

GLOSSARY

Terminology	Description
AU	Ajman University
Office of HR	Office of Human Resources
Line Manager	• Dean shall be considered as the Line Manager in Academics; • Head of Departments shall be considered as Line Managers in Administration;
HRM	Human Resources Manager
SME	Subject Matter Expert
T and D	Training and Development Section
TMO	Talent Management Officer
TNA	Training Needs Analysis
COO	Chief Operating Officer
Training	Training simply refers to the process of acquiring the essential skills required for a certain job
Development	Development includes the acquisition of behavioral skills including communication, inter-personal relations, leadership acumen and other related skills

KEY ROLES AND RESPONSIBILITIES

Chief Operating Officer (COO):

- 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';
- 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 assess 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:

8. Training Type	Commitment Period	0. During First Six Months	During Second Six Months	During Third Six Months	During Fourth Six Months	During Third Year
71. Regular Training 73. Program	One (1) Year (AED 8,000 - 9,999)	Recovery of 100% of Training Cost		Not Applicable	Not Applicable	Not Applicable
	Two (2) Years 78. (> AED 10,000)			Recovery of 50% of Training Cost	Recovery of 25% of Training Cost	Not Applicable
Professional Certificate or Diploma 80.	One (1) Year < AED 8,000)			Not Applicable	Not Applicable	Not Applicable
	Two (2) Years 83. (AED 8,000- 9,999)			Recovery of 50% of Training Cost	Recovery 25% of Training Cost	Not Applicable
	Three (3) Years 85. (> AED 10,000)			Recovery of 50% of Training Cost	Recovery of 50% of Training Cost	6. Recovery of 25% of Training Cost

TRAINING AND DEVELOPMENT PROCEDURES

Training Requests:

- a. Line Managers / Deans (training-requestor) shall provide their training needs by the end of June (which is for the next academic-year's training requirements) to the 'T and D'. These training needs shall be captured in the 'Training Request Form'.
- b. The training requests / details may be based-on or the outcome-of - college /Office objectives, customer /client requirements, employee development oriented initiatives by HR, individual's-request for training and development, leadership development initiatives, mitigating under performance, achieving organizational training objectives, alleviating performance gaps, professional up-gradation and /or succession planning initiatives;
- c. The 'training requestor' shall indicate the preferred training type (like classroom sessions, on-the-job orientations etc.,)



- d. 'T and D' shall review /discuss and agree with the 'training requestor' on the best training methodology – 'training mode' and 'training type';
- e. Then 'T and D' shall collate the training request 'details' into the 'Strategic Training Plan' (which is subject to change based on the outcome of the 'Training Need Analysis');
- f. Ad-hoc 'training requests' being received shall not be routed through the 'strategic training plan and hence needs to go through the stipulated approval process.

Training Need Analysis:

- a. The 'T and D' shall conduct the 'Training Need Analysis' (if there is a persuasive need to ascertain the necessity and imperativeness of a 'training request');
- b. TNA can be done for an individual or for a group of individuals like team /department/Office/Unit;
- c. TNA typically involves a thorough assessment –
 - i. To determine whether a training course would help the cause in 'improving' the skills and competencies of an employee';
 - ii. To determine the true training needs vs. performance issues;
 - iii. To identify what knowledge and skills are to be developed. This is often based on a problem or an issue that is driven by one of the sources mentioned above in the 'training requests' section;
 - iv. Also, to comprehend the inhibitors towards successful implementation of a training solution at this stage.
- d. 'T and D' shall discuss with the training requestor on the 'role expectations' and 'performance gaps' which prompted the 'training request';
- e. The training requestor shall 'agree' on the TNA findings and 'sign' the TNA form;
- f. 'T and D' shall again review the 'training mode' and 'training type' (as required based on the discussions with the training requestor);
- g. Then 'T and D' shall enter all the relevant training need analysis 'details' into the 'Strategic Training Plan'.

Training Approval:

- a. 'T and D' during the 'TNA' phase shall capture cost of the training course;
- b. After the TNA is completed, the 'T and D' would duly complete the 'strategic training plan' and present the same for approval to the 'COO';
- c. COO shall return the 'strategic training plan' for any review corrections to 'T and D' as required;
- d. COO shall approve the 'strategic training plan' and forward the same to HRM;
- e. HRM shall direct the 'T and D' to populate the requisite and relevant details of the 'strategic training plan' into the 'Training Calendar' and publish the same to all the appropriate stakeholders.
- f. For ad-hoc training requests 'T and D' after completing the due process of collecting the 'training request', shall populate the training modes /training types /training cost fields (as appropriate) and then present the same for COO's approval;

Training Course Design:

- a. The 'T and D' shall assess if a new training course needs to be designed or an existing course fits the current training request;
- b. If a new training course design is required, the following steps shall be followed –
 - i. Ascertain the best-fit training mode;

- ii. Ascertain the best-fit training type;
- iii. Develop a new course-material or improve /update an existing course-material with a SME and the training instructor to suit a particular training need;
- c. HRM shall review and approve the course design including the course-material;
- d. 'T and D' shall update the 'training course-material' master with appropriate details.

Training Conduction:

This involves coordinating with all the stakeholders with respect to getting the training started and successfully completed;

- i. Coordinating with the trainers, trainees and reporting managers on the impending training session;
- ii. Coordinating with the 'Facilities Office' for 'training venue bookings';
- iii. Indenting for specific needs like stationeries, special infrastructure needs etc.
- iv. Obtaining the stipulated training related feedbacks using the 'training feedback forms' just after the completion of a training session.

Training Effectiveness Measurement:

Training effectiveness shall be measured by a three (3) pronged skill assessments i.e. trainer's evaluation of trainees, trainees' evaluation of the trainer and on the job assessments of trainees (after a minimum time-lag of one (1) to three (3) months) by the reporting manager as below –

- a. T and D shall do a systematic analysis of all the feedbacks and ratings obtained to arrive at a 'training effectiveness index' based on the below ratio –
 - 25% weight-age for Trainee's feedback on the trainer;
 - 30% weight-age for Trainer's feedback on trainees; and
 - 45% weight-age for Reporting manager's assessment on trainees;
- b. T and D shall also capture the feedback on the improvements and 'lessons learnt' in the 'Month-Wise Training tracker', which can be incorporated in the subsequent training courses; this in-turn will help towards continuously improving the training effectiveness benchmark.

Update AU Employee Skill Database:

- a. T and D shall ensure that all employee's skill details are updated immediately after the successful completion of a 'training course', or certification;
- b. T and D submits the updated skill database to HRM for review /quality check;
- c. HRM post quality overview and suggests any corrections /improvements.

TRAINING AND DEVELOPMENT ROLES

Grouped below are the definitive training and development responsibilities that various role incumbents are expected to perform at their respective levels –

Line Managers /Deans (Training Requestor)

- a. Identifying appropriate training objectives for the Office/Department 'in-general' and individuals within the Office/Department 'in-particular';
- b. Identifying specific training courses for the team members in their respective Office/Departments;
- c. Providing direction and learning opportunities to ensure employees achieve their objectives and potential;



- d. Coaching /mentoring (as required) and supporting employees in their learning and development activities;
- e. Facilitate the preparation of an 'individual learning plan' for each of the team members in line with their performance and potential;
- f. Ensure all the policies and procedures set for the conduction of training and development are adhered to;
- g. Providing honest and on-time reporting manager's feedback on the trainees (as applicable);
- h. Following up with the trainees (team members) and T and D in evaluating the effectiveness of all training and development activities.

Employees

- a. Actively participate in the training identification process with their respective Office /Departments;
- b. Identify and communicate their training and development needs specific to their roles ;
- c. Participate readily in the planned /agreed training development activities;
- d. Provide on-time feedback to their reporting managers /supervisors on the outcomes from training and development courses they have undertaken;
- e. Update the 'skill /competency' section of HRIS after successfully completing the trainings /certifications.

Talent Management Officer /Coordinator

- a. Initiate /follow-up on the requests for 'Training Request Form' ;
- b. Conduct Training Need Analysis;
- c. Partake in the Training Design phase as and when required;
- d. Coordinate with the SME's and training instructors on the development of 'training course-materials' (as applicable);
- e. Coordinate on the impending training course with nominated trainees, trainer, reporting managers and other administrative staff (as required);
- f. Administer, follow-up and collect the training assessment /feedback forms from all the stakeholders i.e. 'Trainer', 'Trainee' and 'Reporting Manager' (as applicable);
- g. Preparing training reports and maintenance of 'training records' in the HRIS –
 - Strategic Training Plan Template
 - Training Calendar Template
 - Training Need Analysis Forms
 - Month-wise Training Tracker
 - AU Employee Skill Database

Human Resources Manager

- a. Verify the 'Strategic Training Plan';
- b. Verify the 'Annual Training Calendar';
- c. Review the need for engaging an external training vendor /trainer;
- d. Participate in Training Needs Analysis;
- e. Verify and approve the TNA(s);
- f. Partake in the Training Design phase as and when required;
- g. Verify and approve the 'Training Design' being incorporated for a new training course;

- h. Verify, suggest and approve corrections to the 'Employee Skill Database';
- i. Share the up-to-date 'Employee Skill Database' to all the requisite stakeholders at the end of every quarter;
- j. Suggest process improvements in 'T and D';
- k. Maintain an interface with external training consultants /agencies;
- l. Ensuring that presentation, delivery and content of a training course are as per the 'AU - Code of Conduct'.
- m. Offer Professional advice, expertise and guidance to Managers and Individuals.
- n. Coordinate and scrutinize the 'financial details' for general training funds, which shall be submitted by departments as part of the normal budget process.

APPROVAL MATRIX

Approval For	Approval By	
	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

Staff Performance Appraisal Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chief Operating Officer	Effective Date	Jul. 2019
		Next Review Date	Jul. 2022

Purpose

This policy applies to all staff members of AU across all grades, colleges, and offices. It recognizes the mutual obligation of management and staff members to be responsible for their performance.

Policy Description

Objectives

1. Reconcile and cascade AU's strategic goals down to the individual levels.
2. Share and communicate performance expectations to all staff members.
3. Identify and recognize high performers and potentials in the University.
4. Identify staff members who do not meet the minimum performance standards.
5. Identify performance gaps and determine performance improvement strategies.
6. Link staff members' performance with rewards system.

Performance Appraisal Templates

1. The performance of staff members at all levels is assessed using a Performance Appraisal Template.
2. The template consists of two main sections; Section A – Objectives, and Section B – Behavioral Competencies.
3. A total weight of 100 is equally distributed among both sections, which are embedded in the forms, as elaborated in the table below.

Appraisal Criteria	Staff Members (All Grades 1-15)
Section A: Objectives	50%
Section B: Behavioral Competencies	50%

Section A- Objectives:

1. Across all grades, the number of objectives is a minimum of two (2), 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.
4. Objectives should be Specific, Measurable, Achievable, Relevant, and within Time-Bound (S.M.A.R.T. Objectives).
5. All objectives will have equal weight - total weight divided by the number of 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. 50% of the total overall weight is equally distributed among the six (6) behavioral competencies.
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.

Please check Appendix-A for a full list and description of the Core and Leadership competencies.

Planning Phase:

1. The COO – Chief Operating Officer 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.

Note: A hard copy signed by both parties should also be sent to the Office of HR.



Evaluation Phase:

1. The COO – Chief Operating Officer announces to all deans, managers and staff members the End-of-Year Evaluation Phase (by the end of the Spring semester).
2. The Office of Human Resources will send via email the soft copies of the performance appraisal forms to the respective deans and managers across different colleges and offices.
3. The deans and managers will forward the PA forms to all staff members in their colleges and departments.
4. Individual meetings shall be conducted between the supervisors and staff members to discuss the appraisal of their performance and reach a consensus on the rating. In case of disagreement on the rating, the supervisor's rating will be considered and filled in the rating column.
5. Finally, both staff and his/her direct supervisor shall sign the form,
6. In case the staff doesn't agree on the rating; she/he can select the option of "disagree" to the rating and then sign the form.
7. Upon the completion of ratings, the forms shall be forwarded to the area cabinet member for their review and approval before they are submitted to the Office of Human Resources.
8. The Office of Human Resources shall review and validate the ratings for final consideration, before an official notification on the final PA rating can be sent to each staff member by email, with a copy to his/her direct supervisor.

Confidentiality of PA Results:

The individual performance rating is confidential and represents part of personal information. Staff members may not share their or other staff's performance rating, unless being discussed for the purposes of grievance or re-evaluation by an official individual or committee as assigned by the top management.

Changes 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 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 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)

The staff member is an exceptional contributor to the success of his/her college/ office and AU. He/she frequently exceeds job requirements and demonstrates role model behavior.

Meets Expectations (M)

The staff member is a solid contributor to the success of his/her college/ office and AU. He/she consistently meets job requirements.

Needs Improvement (NI)

The staff member consistently fails to meet job requirements. He/she needs significant improvement in critical areas of the expected job results or behavioral competencies.

Performance Rating Validation

1. A rating of “Meets Requirements” (M) is the expected rating for the majority of staff members. A normal distribution test will be conducted by the Office of Human Resources per each college and office to ensure the compliance of results to the normal distribution.
2. For any staff receiving an overall rating of (O) or (NI), the direct supervisor should clearly justify the ratings by submitting additional relevant details; supporting documents, description of extraordinary achievements or failure situations of the job requirements, specific incidents of good or bad behavior, problematic areas, ...etc.
3. A specialized PA Committee shall be formed by the top management to conduct a comprehensive review of the overall PA results to ensure clarity, transparency, and reasonable distribution of the results. The committee may call for meetings with any of the managers or staff to review and validate any PA results.

Please refer to Appendix-A and Appendix-B for further details on the rating in relation to the specified evaluation criteria.

Resolving Appraisals Conflicts:

1. If any staff member is not satisfied with his/her performance appraisal’s final rating, he/she may request an appointment with their direct supervisor to discuss this matter.
2. If no compromise is reached, and the staff member still believes that he/she had been subjected to any type of discrimination, personal 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

1. The Annual Performance Appraisal rating shall be used to determine any incentive related benefit; either being a continuing merit increase or a one time bonus.
2. The top management shall decide and announce such incentive scheme upon the completion of the PA process, along with the eligibility criteria to such incentives based on the performance ratings. However, the decision of whether to announce such an incentive scheme or not is completely discretionary as it relates to financial performance and budget availability.
3. As for those who are rated with “Needs Improvements” (NI), a grace period of 3 to 6 months is given to improve their performance. In the case of non-improvement in their performance, the



management reserves the right to decide on their continuity at work or any other relevant disciplinary action.

4. In case a bonus-based incentive scheme is announced by AU top management for the benefit of staff members whose performance was subject to evaluation, the applicable bonus amount shall be calculated on pro-rata basis, proportionate to the period of duty served during the year.
5. 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).
6. 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 behavioural competences, agree with the staff member, and communicate the same with the Office of Human Resources.
2. The following categories are excluded from the PA program:
 - All who work at AU on consultancy contract basis.
 - Part Time staff members.
 - Staff members who didn't complete the probationary period.
 - All staff members whose accumulated leaves during the year (either being annual, sick, or any other type of leaves) exceed a period of 6 months.
 - Personnel serving as trainees or on voluntary basis.

Appendix A

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.
NI	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 staff; 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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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 fairly and ethically. 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 office /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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	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.
NI	Do not recognize the importance of understanding the future challenges that might affect the existence and the continuity of AU. The focus is only on the current situation/objectives and almost no focus on the future.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	18/08/2013	Initial Policy – outlines necessary guidelines and forms for staff evaluation.	Vice President
V 2.0	10/07/2017	New Policy – Institutional goals orientated, simplified process and procedure.	Chief Operating Officer
V 2.1	21/07/2019	Minor change – evaluation weight criteria change	Chief Operating Officer

Staff Promotion Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chief Operating Officer	Effective Date	Feb. 2018
		Next Review Date	Jul. 2021

Purpose

Ajman University (AU) has adopted a promotion policy to foster the advancement of its Staff Members within the University by recognizing Staff Member contribution to the University and providing growth opportunities. The policy also helps build a healthy talent pipeline of high performing Staff Members and is applicable to all staff members at AU

Statement

The promotion policy is based on the recognition that in the course of meeting University goals and objectives, the duties and functions of a Staff Member may change in complexity and responsibility. Promotions therefore, are based on status changes that involve increasing responsibility levels. The added benefits of promotion serve as an incentive for better work performance, enhance morale and create a sense of individual achievement and recognition. The guidelines listed in this policy are designed to make the process fair and equitable to all, regardless of rank and category.

Policy Description

OBJECTIVES

- Recognizing Staff Members who display strong performance, by providing them with opportunities to grow within AU and subsequently build a high performance culture that is merit-oriented and objective;
- Providing equal opportunities to AU Staff Members, utilizing their performance in the best manner, and engaging the Staff Members by establishing concrete criteria for advancement and development;
- Ensuring proper utilization of Staff Member's experience, training, aptitude and educational qualifications;
- Guarantee that all Staff Members are provided with fair promotion opportunities in accordance with the guidelines mentioned in this policy;
- Provide Supervisors/ Reporting Managers clarity on the promotion process and required criteria

EXCEPTION

There shall be no exceptions to this policy. All exceptions and deviations (if any) to this policy will require the approval of the C.O.O.

GLOSSARY

Terminology	Description
AU	Ajman University
Promotion	Performance driven movement of Staff Members from their current grade to a higher grade, whether within the same Office/ Department or to another Office/ Department
HR	Office of Human Resources
Line Managers	- Dean shall be considered as the Line Manager in Academics; - Director/ Manager shall be considered as Line Manager in Administration;

KEY ROLES AND RESPONSIBILITIES

Chief Operating Officer (C.O.O):

- 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.

Personnel 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 Personnel Affairs Committee that has the authority to recommend the promotion of the most suitable Staff Member for the job
- Any exceptions will need to be supported with a strong business case indicating the Staff Member's exceptional performance and readiness for promotion, by the Supervisors/ Reporting Managers and/or Manager of Office.
- Such requests shall be reviewed jointly by the Personnel Affairs Committee. Some examples of exceptions include:
 - Mid-year promotion;
 - Promotions due to unplanned critical skill vacancies during the year;
 - A Staff Member acquires a credential (Degree, License, etc.) which allows him/her to take on more responsibilities;
 - Creation of unplanned critical new position in AU, which requires to be filled on an urgent basis.
- In all such exceptional cases, the Personnel Affairs Committee will evaluate to see if the business, organizational, fiscal and legal implications of the exception are fully explained and justified, before taking any decisions.

PROMOTION INCREMENTS

- Promotion shall take effect from the issuance date of promotion decision and may not be implemented retrospectively.
- The promoted Staff Member shall receive an increment, which shall be in accordance to the business norms for the year.
- The new salary including the proposed increase shall not exceed the maximum limit of the grade promoted to. If it becomes clear that the salary of the promoted Staff Member shall exceed this maximum limit, his/her salary shall be capped at that limit.
- The promoted Staff Member shall be entitled to benefits of the grade he/ she occupies as of the date of promotion.

GENERAL PROCEDURES

- The promotion window shall start at the end of the performance management cycle at AU, once all Staff Member performance ratings have been finalized by the respective Supervisors/ Reporting Managers and Deans.
- In the case of large functions, all recommendations regarding promotions shall be submitted by the Supervisors/ Reporting Managers to the concerned Manager of the Office, while keeping in mind the promotion eligibility criteria.
- The Office of Human Resources shall review the consolidated nomination lists submitted and shall ensure all promotion candidates meet the eligibility criteria. In case one or more candidates do not meet the eligibility criteria, the Manager of the Office and/or respective Supervisors/ Reporting Managers shall be requested for more information/ justification if they still wish to support the candidate/s for promotion.
- To facilitate the promotion decision, the Office of Human Resources shall prepare a shortlist of all candidates including all relevant information (ratings, skills, available promotion opportunities whenever needed).
- The Personnel Affairs Committee with consultation of the Office of Human Resources shall approve/ reject the promotions put forward.
- The Manager of the Office and/or Supervisors/ Reporting Managers shall be notified of all approved and rejected promotions by the Office of Human Resources through a memo.
- The Supervisors/ Reporting Managers shall ensure smooth transfer of the successful Staff Member into the new role and shall oversee any required handover of duties.
- An official letter shall be issued to the Staff Member by the Office of Human Resources, informing about the promotion and change in staff member status as well as the effective date of promotion and salary adjustments.
- The Office of Human Resources must document any promotion changes in the Staff Member's file.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	18/08/2013	Initial Policy	Vice President
V 2.0	04/02/2018	New Policy guidelines and procedure	Chief Operating Officer

Personnel Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chief Operating Officer	Effective Date	Sep. 2017
		Next Review Date	Aug. 2020

Purpose

- To ensure that the employment records of faculty members and professional staff are well maintained.
- To comply with the rules and regulations of the Ministry of Labor and Social Affairs in the UAE concerning all required documents.

Statement

The Office of Human Resources at AU is responsible for proper maintenance of employees' records including those for faculty and professional staff. Complete records are maintained for each faculty member and professional staff employed by the University. These include original or officially attested documents of academic preparation, the original signed contract, contractual terms, academic position, a copy of the passport and copies of other documents required by the Ministry of Labor and Social Affairs in the U.A.E.

- 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.

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

Staff Leave Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chief Operating Officer	Effective Date	Jun. 2020
		Next Review Date	Jun. 2023

Statement

This policy sets forth clear guidelines regarding staff members' leaves to ensure better work place practices, punctuality, and work-life balance to be in adherence with all local rules and regulations.

The purpose of this policy document is to:

- Provide staff members at AU with eligibility criteria to different types of leaves;
- Clarify the applicable methodologies and procedures for leaves' approval;
- Provide staff members with a user-friendly mechanism to apply for and manage their leaves;

This policy supersedes any other previous policies, procedures, minutes of meetings, manuals, handbooks, and bylaws. The Office of Human Resources is responsible for handling any issues that might arise which are not covered in this policy, and raise relevant recommendations to the discretion of the Chief Operating Officer.

Scope

This policy applies to all AU permanent/ full-time staff members.

A. Leave Calendar Year AU leave calendar year shall be from 1st September to 31st August.

B. Leave Types The following types of leaves are covered in this policy:

1. ANNUAL LEAVE (AL)

A. Annual Leave is defined as the short or long leave that can be availed throughout the leave calendar year;

B. Every permanent and confirmed staff member is eligible for annual leaves as follows: ☐ Grade AD-5 and above ☐ 33 working days; ☐ Grade AD-1 to AD-4 (6-day working week) ☐ 26 working days; ☐ Grade AD-1 to AD-4 (5-day working week) ☐ 22 working days;

C. Annual leaves (for every leave calendar year) would be calculated on a pro-rata basis from the staff member's commencement date, but can be availed only after job confirmation;

Staff Members, from all grades, can carry forward their AL days to the next leave calendar year, given that it does not exceed (15) fifteen working days. The excess AL days balance over the above-mentioned limits will get lapsed by the end of every leave calendar year;



2. BEREAVEMENT LEAVE (BL)

- A. Bereavement Leave is the leave that a staff member can avail in the event of death of an immediate Family Member;
- B. Immediate Family Member shall mean spouse, father, mother, children, brothers or sisters;
- C. Every permanent staff member is eligible for Bereavement Leave for each situation as follows:
 - Seven (7) calendar days if the immediate family member is residing outside UAE;
 - Three (3) calendar days if the immediate family member is residing within UAE territory.

3. COMPENSATORY OFF (CO)

- A. A Staff Member can avail a 'Compensatory Off' for working on University declared holidays and/ or designated weekly-off; and in accordance with the Overtime Policy.
- B. CO shall be only awarded based on a special request from the line manager to assign a staff member to work on University declared holidays/ weekly-off;
- C. CO shall be availed within three (3) months from the day the staff member has worked on University declared holidays/ weekly-off;
- D. COs not availed within three (3) months would get lapsed and cannot be carried forward;
- E. In all circumstances, unutilized COs cannot be compensated as part of the EOS settlement;
- F. Line managers shall ensure that the CO is duly granted, approved and availed by their team.

4. HAJJ (Pilgrimage) LEAVE (HL)

- A. Permanent and confirmed staff members can avail 'Hajj Leave' for performing pilgrimage once during their tenure at AU;
- B. The HL entitlement shall be fourteen (14) calendar days;
- C. To be entitled for HL, a staff member should be confirmed in the position.

5. MATERNITY LEAVE (ML)

- A. Women staff members who have completed at least one (1) year of service at AU can avail forty five (45) calendar days of Maternity Leave (including pre and post-delivery);
- B. If a staff member has not completed one (1) year of service, the ML benefit of forty five (45) calendar days shall be at half pay;
- C. Sufficient documentary evidence (authenticated by AU Medical Center) have to be submitted along with the Leave Application Form;
- D. Staff members can extend their ML, with prior approval; however, this extended leave shall be treated as AL or as unpaid leave if AL balance is insufficient.

6. PATERNITY LEAVE (PL)

- A. Every permanent male staff member is entitled for three (3) working days as paternity leave;
- B. The PL can be availed within 1 (one) month from the delivery date of the new born;
- C. If not availed within the set time limit, the PL cannot be accumulated or compensated.

7. OFFICIAL LEAVE (OL)

- A. Staff members who have been nominated to perform certain official duties, which necessitate them to be away from their designated work location, shall be granted 'Official Leaves';
- B. The OL entitlement shall be decided on case-by-case basis and in accordance with AU Business Travel Policy.

8. SICK LEAVE (SL)

- A. Every permanent staff member is eligible for one hundred and five (105) calendar days of sick leaves in a leave calendar year as shown below:
 - First thirty (30) calendar days with full pay;
 - Second thirty (30) calendar days with half pay;
 - Remaining forty five (45) calendar days, without pay;
 - After the (45) days without-pay period the staff member's fitness shall be evaluated;
- B. Staff Members should report their sick leaves by email to their direct manager, copying the Office of Human Resources, before availing their leave.
- C. Staff members have to submit medical/ fitness certificate(s) along with the 'leave application form' for every SL availed, within three working days since date of return to duty;
- D. SL cannot be carried forward and would get lapsed at the end of the leave calendar year when not availed.

9. PROFESSIONAL DEVELOPMENT LEAVE (PDL)

- A. Staff members who have been nominated by their line managers for 'University sponsored PDL programs' shall be awarded 'Professional Development Leaves';
- B. The PDL duration shall be decided and approved based on the specific requirements and duration of the PDL program.

10. MARRIAGE LEAVE (MRL)

- A. Marriage Leaves are applicable only for permanent, confirmed staff members;
- B. Marriage Certificate must be submitted to support the utilization of MRL.
- C. The MRL entitlement shall be seven (7) calendar days and applicable for staff members who have completed one (1) year of service at AU.

Unauthorized Absence

If a leave is not approved and the staff member remains absent, then the absence will be treated as an 'Unauthorized Unpaid Leave', and salaries, allowances and accruals (if any) for those days shall get deducted. In addition, this situation shall be subject to disciplinary action.



Leave Encashment

- For all continuing staff members at AU, leave encashment is strictly prohibited under any situation.
- Encashment of accumulated/ unutilized AL balance is only allowed in case of resignation or service termination; as part of end of service settlement, in which case the compensation for such days shall be based on the basic salary.

Leave Balance and Notice Period

For staff members who are serving their notice period, available AL balance can be availed during the notice period subject to approval of the line manager and the Office of Human Resources.

Paid Holidays

A. All permanent/ confirmed staff members are eligible for paid holidays in a calendar year, except those who are paid on an hourly basis; B. Holidays shall be published by the Office of Human Resources.

Unpaid leave

- A. Any unpaid leave is subject to prior approval;
- B. If the duration of the unpaid leave is up to one month, the gross monthly salary and other monthly allowances shall be suspended. The housing and education allowances, in addition to health insurance benefits shall continue normally.
- C. For unpaid leaves that exceed one-month duration, the monthly salary and all other allowances and benefits shall be suspended until the end of the unpaid leave period, and the employee must submit a clearance form prior going for long un-paid leave
- D. If a leave is approved due to an emergency situation without having any leave balance in AL, the same shall be treated as 'Authorized Unpaid Leave' and salaries, allowances and accruals (if any) for those days shall be suspended.

General Guidelines

- A. AL days shall be credited to staff members' leave account on a monthly basis, pro-rated on the last working day of a given month from the beginning of the leave calendar year (i.e. 1st of September).
- B. All staff members are required to get their leave applications approved by their line managers and the Office of Human Resources before availing any leave.
- C. Short leaves like CO, PDL, OL or HL shall be planned and applied officially at least two (2) working days before the leave day(s); whereas long leaves/ vacation leaves like AL or ML to be applied at least fifteen (15) working days before the date of commencement of leaves. Any special cases shall be approved by the Office of Human Resources.
- D. All leave applications must be made using the online 'Leave Application Form'; which has to be duly approved by the Line Manager and the Office of Human Resources;
- E. Staff members shall provide the following 'documents' for availing leaves:
 - Doctor's certificate or fitness certificate for SL;
 - Doctor's certificate for ML no later than one (1) month from the date of delivery; which shall be authenticated by the Office of Medical Services;

- Any relevant supporting document for Marriage Leave (MRL) that is acceptable by the Office of Human Resources;

F. During emergency situations where a staff member cannot submit the leave application in advance; s/he must inform his/ her line manager over the phone within a maximum of two (2) hours from the duty, followed by an email to the line manager and Office of Human Resources, while s/he is expected to apply for the leave and obtain approval within 2 working days from resuming work;

G. Staff members have to identify 'substitutes' during their leaves who shall be performing their duties and take all necessary steps of handing-over current work duties, any pending matters, and transferring knowledge at least two (2) days before the date of commencement of leave(s);

H. During the leave period (except the 'UL'), the staff member shall be entitled to the same salary as was admissible to him/ her on the day immediately preceding the date of commencement of the leave(s);

I. A staff member shall be entitled for a prepaid salary in lieu of his AL, only if applied for a minimum AL of (15) working days.

J. For Unpaid Leave (UL) calculations, leaves taken including Fridays/ Saturdays/ Weekly off days or Paid Holidays; would also be considered for the leave calculations; For example, if a staff member has availed leaves for ten (10) working days (excluding a Friday and Saturday which falls in between), and if it is treated as UL, this Friday and Saturday would also be included in the UL duration, and the total days of leaves shall be considered as twelve (12) days;

K. Leave Extension: Staff members who need leave extension due to unavoidable circumstances can do so based on an approval from the concerned line manager and the Office of Human Resources. However, the staff members have to forward the approval email from their line manager along with the leave application form to the Office of Human Resources within two (2) days of reporting to work.

Leave Application Procedure

A. Staff members shall duly complete the 'employees section' of the leave application form and submit the request for approval as per the timelines stipulated for specific leave types;

B. It is the staff member's responsibility to check the leave balance before applying for any leave;

C. Line managers shall approve/ reject the leave application forms;

D. The approved/ rejected leave application form shall be forwarded to Office of Human Resources.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	15/06/2020	Initial Policy	Human Resources Manager

Faculty Workload 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

Statement

The assignment of faculty workloads is intended to be used, as a comprehensive guideline for academic departments when assigning workloads to individual faculty members and it is defined as the total of the instructional, scholarly, and professional service activities rendered to AU by its faculty. It encompasses instruction, advising, committee work, and thesis supervision, 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 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.

In compliance with Stipulation 5.7 in 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.

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.

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 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

Professional Requirements for Teaching Policy

Policy Owner(s)	Human Resources Manager Senior Officer, Faculty Affairs	Responsible Office	Office of VCAA
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Sep. 2019
		Next Review Date	Jul. 2021

Purpose

This policy ensures that:

- Preparation and qualifications/credentials of all faculty members, both full time and part-time, are appropriate to their job assignment in the University.
- Faculty members have an earned terminal degree from internationally recognized institutions of higher education.

Minimum expected academic or professional qualifications for different teaching levels are in accordance with those required by the Commission for Academic Accreditation (CAA).

Statement

It is the policy of AU to hire faculty members whose preparation and qualifications are appropriate to the field and level of their assignments. The faculty members must have terminal degrees earned from internationally recognized institutions of higher education. The terminal degree is a doctoral degree. However, in very special cases as specified by the UAE Ministry of Education, the terminal degree could be a Master's degree such as in art, design, and design-related disciplines.

For teaching in remedial programs, a baccalaureate degree in a discipline related to the subject taught, teaching experience in that subject, or graduate-level training in remedial education is required. For teaching courses in diploma programs, a baccalaureate degree in a discipline related to the subject taught and appropriate work experience is required.

- All faculty members employed in the University shall have preparation and qualifications appropriate to the field and level of their assignments.
- The faculty members must have terminal degrees earned from internationally recognized institutions of higher education.
- For teaching in remedial programs, a baccalaureate degree in a discipline related to the subject taught, teaching experience in that subject, or graduate-level training in that subject is required.
- For teaching courses in diploma programs, a baccalaureate degree in a discipline related to the subject taught and appropriate work experience is required. In addition, relevant professional certification may be required in some cases.
- For teaching general education courses such as the first two courses in English, Arabic, or other languages, and the first course only in Islamic studies, history, or culture; humanities, arts, social sciences, behavioral sciences, natural sciences, physical sciences, mathematics and information technology: a Master's degree with a major in the discipline taught and one of the following is required:
 - five years' teaching experience in the discipline;



- a combination of five years' experience in teaching or other employment related to the field;
- the equivalent of eighteen credit hours of graduate study in the field beyond the Master's degree;
- an internationally recognized professional credential (such as certification as a public accountant);
- at least one faculty member teaching in each program area holds a terminal degree in the discipline.
- For teaching courses in baccalaureate degree programs, a terminal degree in the teaching discipline, usually a doctoral degree is required. However, in some specific fields as approved by the UAE Ministry of Education, a Master's degree may be considered as terminal degree.
- For teaching courses in graduate degree programs, a terminal degree in the teaching discipline and either a strong record of (or the potential for) research and scholarly activity or significant professional experience as a practitioner in an applied discipline is required.
- In line with the guidelines of the UAE Ministry of Education Exceptions to the requirement for a terminal degree are limited to no more than 20% of all faculty teaching in any specific program; and are also limited to faculty members in applied fields who have a minimum of either:
 - a) A Master's degree in the teaching field or a doctorate in a related field, and who also have extensive senior level experience in the applied field (such as corporate management or accounting); or
 - b) Experience in the applied field coupled with internationally recognized professional association certification (such as medical board certificate or Certified Public Accountant)
- Applications for exceptions to the requirement for a terminal degree are reported to the Commission as exceptions for approval prior to the start of the semester in which the faculty member will teach

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 1.1	08/09/2019	Minor amendments as per CAA new standard	Vice Chancellor for Academic Affairs

Compensation Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 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 intends on making Faculty members aware of their rights regarding salary and benefits provided by the University.

Statement

The faculty member is entitled to the remuneration package mentioned in his/her contract along with specified annual increments. The package includes Basic Salary, Cost of Living Allowance, Furniture Allowance, Housing Allowance, Education Allowance, Research Allowance and Annual Tickets for travel by air. The University also provides health insurance for all faculty members. In addition, the faculty member is entitled to an End of Service Gratuity (one-month basic salary for every year of service at the University).

AU Faculty Salary Structure and Benefits

Itemization		ACADEMIC RANK			
		Lecturer	Assistant Professor	Associate Professor	Professor
1	Salary Range	14,000-24,000	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 Economy Class, except for Deans who are entitled to business class			
6	Health Insurance	100% coverage for Faculty + spouse + 3 dependents			
7	Social allowance (Applicable only to UAE nationals)	90,000	120,000	138,000	156,000
8	End of Service Benefit (For Expatriates)	One-month basic salary for each year of service, not exceeding the aggregate of two years’ basic salary.			



- The faculty member is entitled to a monthly remuneration payable at the end of each Gregorian calendar month.
- The monthly remuneration comprises of Basic Salary and Allowances in accordance with the specified scales depending upon the academic rank, experience, and as specified in individual contracts.
- The faculty member shall also be entitled to the following benefits in accordance with the University's policies and bylaws:
 - Housing allowance
 - Furniture allowance
 - Health insurance
 - Education Allowance
 - Airline tickets
 - End-of-service gratuity
 - Sickness leave
 - Annual leave
 - Public holidays
- **Housing Allowance:** The faculty member shall be entitled to an annual housing allowance which shall be payable in monthly installments. The amount of this allowance depends on whether the faculty member is a Ph.D. holder or Master's degree holder.
- **Furniture Allowance:** The Faculty Member shall be entitled to the furniture allowance paid fully in one installment with the first salary. The eligibility of this amount is depreciated over two continuous years of work for the University; i.e. 50% per year.
- **Medical Benefits:** The faculty member, his/her spouse and three dependent children (male dependent age up to 18 and female dependent age up to 22), shall be entitled to a private medical health insurance scheme; provided by the University in accordance to its medical policy, that might be amended from time to time at the sole discretion of the University. A visiting Faculty member medical health insurance shall be 100% covered by the University, whilst the faculty member's spouse medical health insurance shall only be covered 50% by the University.
- **Annual Education Allowance:** AU resident faculty member is eligible for education allowance for up to three children, as per AU Educational Allowance Policy, provided the children are UAE resident and are enrolled in UAE schools. The distribution of the allowance amount (depending upon the faculty member's rank) for each child shall not exceed the eligible cap. The education allowance is paid in two equal installments.
- **Air Tickets:** AU faculty member, the faculty member's spouse and three dependent children shall be entitled to one annual round-trip economy class air ticket each to the faculty member's country of citizenship after completion of each year of service, as long as they have a valid U.A.E. residency.
- This allowance shall be paid through cash transfer on the employee's employment anniversary, based on the rate provided by Office of Public Relations. The faculty member is not entitled to claim a pro rata portion of the annual air tickets if the faculty member's employment terminates (for any reason whatsoever) prior to completion of a full year's service.
- **End of Service Benefit:** AU faculty member is entitled to an end of service gratuity calculated as thirty (30) days Basic Salary for each completed year of service, provided that the end of service gratuity shall not exceed the amount of two years' basic salary.

- The faculty member shall (in addition to any statutory public holidays announced for the United Arab Emirates) be entitled to paid holiday in accordance with the provisions relating to holiday leave as set out in the University's academic calendar, provided that such holiday leave shall not exceed the specified number of calendar days in each holiday year. The University's holiday year for faculty member is the academic calendar year.
- Subject to compliance with the University's procedures relating to the notification and certification of periods of absence from work, the faculty member shall continue to be paid salary and to receive other benefits provided under his/her contract during any periods of absence from work due to sickness, injury or other incapacity in accordance with the UAE labor Law.

Document History

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
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	23/05/21	Amended the AU Faculty Salary Structure and Benefits' figures	Office of Human Resources

Non-Discrimination Policy

Policy Owner	The Cabinet	Responsible Office	Office of the Chancellor
Approved By	Chancellor	Effective Date	Nov. 2019
		Next Review Date	Aug. 2022

Purpose

Ajman University, in keeping with its values and in following the UAE Law No. 2 of 2015 against Discrimination, is committed to providing and promoting to all members of its community a safe educational environment that is free from discrimination and harassment. This policy applies to all members of AU community including administrators, faculty, students, and staff.

Definition

Discrimination, with the inclusion of harassment, is defined as treating or showing preference to a specific individual or a group of individuals based on nationality, sex, age, religious belief, race, color, or marital status; in matters of educational programs, recruitment, promotion, or access to institutional services.

Statement

- Ajman University, in accordance with UAE tradition and its core values, is committed to providing and fostering an environment that is free from discrimination and harassment, and which inspires tolerance and respect, as well as promotes diversity and transparency amongst its staff and students.
- Ajman University does not discriminate on the basis of nationality, sex, age, religious belief, race, color, or marital status. Hence, it is the policy of the University, with the commitment of its senior management, to prevent and not tolerate any unlawful or unfair discrimination in any matters related to admission, recruitment, or access to education programs or services. The policy warrants equal treatment and opportunity for staff and student (particularly students of Determination) in a multicultural environment such as the one in UAE where people from all over the world come to work, live and study.
- The University uphold a continuous commitment to take the necessary actions to advance its values of equality and diversity. It is the responsibility of senior management to champion this commitment and enforce it. University officials, deans and managers have therefore the responsibility to support the policy by ensuring impartiality and fairness in all their operations, and consequently promote a culture that is free from discrimination and harassment.
- Any member of AU community, who has witnessed or has been the subject of any type of discrimination and wishes to see it pursued and resolved, should report the incident through the applied university grievance procedures. Complaints for alleged discrimination are taken seriously, and the University will take swift action to correct (when proven correct) its discriminatory consequences and avoid future recurrences. Discrimination incidents are reported using the following protocol:

- a. **Faculty** can use the “Faculty Grievance Procedure” to formally raise their complaints.
- b. **Staff** can raise their complaint by using the “Staff Grievance/complaint Procedure”.
- c. **Students** can formally submit their complaints through the “Student Complaints Procedure”.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	03/11/2019	New policy	The Cabinet

Conflict of Interest Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chief Operating Officer	Effective Date	Dec. 2018
		Next Review Date	Aug. 2021

Purpose

The purpose of this policy is to establish guidelines for conflicts of interest or commitment that might arise in the course of AU employees' duties and external activities. This policy does not seek to unreasonably limit any external familial and social networking, external activities, but instead seeks to emphasize the need to disclose conflicts and potential conflicts of interest and commitment, to manage such conflicts and to ensure that the University's interests are not compromised. Hence, it is the responsibility of each individual (i.e.: faculty, staff member, or student employee acting on behalf of the University) to comply with legal and regulatory requirements associated with the job.

Statement

The University is committed to the highest standards of ethical behavior and strives to achieve an environment in which research and learning is accomplished with openness, honesty and respect. Each employee in AU owes primary professional responsibility to the University and must avoid any familial relationships, outside obligations, financial interests, or employment that can affect the objectivity of decisions as a member of the University community.

A conflict of interest is a situation in which financial or other personal considerations have the potential to compromise or bias professional judgment and objectivity. All members of AU community must ensure that no conflict of interest exist, by avoiding actions or engagements that are in conflict with their position, or might impair their ability to make objective and fair decisions when performing their obligations to the institution or its well-being.

Unless approved, after consultation, by the proper authority within the University, it is advisable that AU community members avoid potential conflict of interest and staff members are encouraged to bring to the attention of their direct supervisors or higher management inquiries related to possible conflict of interest for possible action. The following actions and conditions are specifically prohibited, but are not intended to enumerate all actions or situations, which might be avoided:

- Situations where a financial or other consideration may compromise or appear to compromise their ability to carry out their responsibilities to the University.
- 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.
- Situation where a staff member has a significant interest in, or a consulting arrangement with, a private business.
- Situation where a faculty member undertakes externally funded research activities not financially sponsored by Ajman University.
- Situation where a faculty member undertakes consultancy work without prior approval from the University.

- f. Situation where a faculty member accepts activities that compete, or have the potential to compete, with Ajman University in areas that are part of the faculty member's University Responsibilities.
- g. Situation where a faculty member teaches for another educational.
- h. Authorize the purchase of equipment, supplies or services from a source in which they or their family members have a substantial interest.
- i. Borrows from, or lends money to, individuals representing organizations with which business dealings are conducted.
- j. Accept advances or other personal payments or gifts or entertainment, from any company or firm or any person acting directly or indirectly for any company or firm which has transactions with AU.
- k. Hire any member of their immediate family as an employee or consultant for any project supported by funds administered through the University.
- l. Have a family member directly supervising another family member.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 1.1	24/10/2012	Minor change	Vice -President
V 2.0	11/12/2018	New policy	Human Resources Manager



Faculty Disciplinary Policy

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

Ajman University expects all its faculty members to abide by the highest standards of professional ethics and academic honesty in all their activities conducted inside or outside the University campus. In the case of a serious violation of these standards or misconduct, a faculty member may face disciplinary charges and a disciplinary action can be taken against him under the specified procedure, as explained in this document.

Purpose

- To ensure that faculty and professional staff follow the highest standards of professional ethics and act as role models for students.
- To promote academic honesty.
- To elaborate acts of misconduct that may result in some disciplinary action.
- To describe the procedure for disciplinary action.

Statement

AU expects its faculty members to adhere to the generally accepted rules of honesty, good conduct, and fair practice. They are required to perform their duties to the best of their abilities, abide by all laws and regulations, and refrain from any activities that can harm the University's reputation.

In case of misconduct or serious violation of the University's rules and regulations, a faculty member or professional staff may face disciplinary charges.

The rules of this Policy shall apply to all violations, and whether occurred on campus or during all University-sponsored events or activities. This Policy shall also apply to any act that defames or dishonors the University even if committed off campus.

Academic Honesty

- Academic honesty is the pursuit of scholarly activity in an open, honest and responsible manner. Academic honesty is a basic guiding principle for all academic activities at the University, and all members of the University community are expected to act in accordance with this principle.
- Academic honesty includes a commitment not to engage in or tolerate acts of falsification, misrepresentation or deception. Such acts of dishonesty violate the fundamental ethical principles of the University community and compromise the worth of work completed by others.

Misconduct

The University expects its faculty members to abide by all rules and regulations and conduct in the best possible manner. The University shall take appropriate disciplinary action if a faculty member or professional staff is found to be involved in a case of misconduct such as, but not limited to the following:

- a. Refusal to carry out the duties required by his/her position or refrain from abiding by the instructions under the employment contract, which are issued by the superior or the person in charge.
- b. Unauthorized distribution of literature in the work area or posting on institution property.
- c. Committing any act that might compromise an article of the contract or violate the regulations issued by the University from time to time regarding the safety and security of the computers and equipment inside the university.
- d. Racial or sexual harassment or any other form of harassment to any student, employee or visitor to the University.
- e. Absence without permission.
- f. Committing any act that might infringe an article of the contract or violate the regulations and policies issued by the University from time to time regarding safety and security.
- g. Refusal to accomplish tasks stipulated upon in the employment contract and/or the internal laws of the University.
- h. Disturbing the safety equipment, or acting in a manner that threatens the rules of safety and public health in the workplace or hindering the employees from carrying out their duties properly.
- i. Falsification of any reports, reports pertaining to absence from work, and communications or records including personnel and production records.
- j. Threatening, intimidating, coercing or interfering with any person on AU premises at any time.
- k. Gaining unauthorized access to institution records and files whether they are locked or otherwise.
- l. Theft of any property on institution premises.
- m. Submission of false certificates and documents.
- n. Professional negligence, which causes material or moral damage to the University.
- o. Intentional breaching of the internal published laws of the University.
- p. Divulging a professional secret.
- q. Any substance abuse
- r. Violation of the moral ethics of the UAE society.

Procedure

- A faculty member shall appear before a committee to be formed as per a decision from the Chancellor or his authorized representative. The committee composed of three or more members, shall investigate the facts referred to it by the Chancellor or his authorized representative.
- The committee shall conduct investigation sessions at the invitation of the Chancellor. These investigation sessions shall only be considered valid when attended by all members of the investigation committee. The recommendations of the Committee must have the concurrence of the majority. On equal terms, the Chancellor's recommendation shall be favored. However, a recommendation for contract termination shall only be issued with the agreement of all committee members.
- A penalty may only be imposed on the faculty member involved after a written investigation of not more than 30 working days – if possible – as per the University academic calendar. This investigation shall include his/her statements, and these shall be first investigated. A justification for the penalty recommendation must be furnished as well.



- The Committee shall request the presence of the faculty member for investigation, by sending him a summons at least 24 hours before the date of the enquiry session. The committee shall safeguard the confidentiality of the investigation and the dignity of the faculty member. The summoning shall be considered legal and acceptable if sent to the faculty member via the faculty provided email to the University, or via an SMS to the faculty mobile phone number registered in the University system.
- The committee shall hold investigation sessions in the presence of the faculty member under investigation and/or his/her representative. Should they both fail to appear without an acceptable excuse and despite the invitation, the committee shall decide on his/her case in absentia as if s/he is present. The investigation shall be conducted in a confidential way. The Committee shall have the right to hear the witnesses or anyone it deems fit as and when needed, in the absence of the faculty member involved and his authorized representative.
- The faculty member referred to investigation may submit any documents, statements, or defense he/she deems fit, in Arabic and / or any foreign language. A note on these shall be recorded in the minutes of investigation.
- The faculty member referred to investigation shall have the right to sight the complaint lodged against him. The Committee shall inform him/her, at least verbally, of the contents of the statements of all those heard (without being obliged to refer to their names). He/she shall be given sufficient time to prepare his/her defense.

Post-Investigation Procedures

- On completion of investigation, the Committee shall recommend any of the following:
 1. Archive the complaint for failure to prove the violation in question.
 2. Enforce one of the disciplinary penalties included in this policy, if the violation is verified.
- The Committee's recommendations must be sufficiently justified and reflect its full awareness and understanding of all the facts raised in the investigation. The Committee shall make the recommendations in a judicious way. All Committee members shall sign out the minutes of their meetings and recommendations.
- The Committee shall refer its recommendations and full minutes of investigation to the Chancellor or his authorized representative in maximum seven working days effective from the date of completing the investigation. He shall then take the decision he deems fit.
- The Office of the Vice Chancellor for Academic Affairs shall notify the faculty member referred to investigation of the decision taken with immediate effect. The faculty member involved is entitled to get a copy of the decision if s/he wishes.

Disciplinary Actions and Penalties

- The disciplinary measures and penalties taken or to be taken by the University shall remain separate from any criminal or civil proceedings involving the same offense filed or to be filed against him/her. The procedures and penalties shall apply even if the faculty member quits or has had his/her contract terminated for any reason whatsoever.
- The Committee shall have the right to seek help from all the University departments, units and sections in support to investigation. The Committee is also entitled to request reports from the same entities. It shall have the right to access all the documents helpful for investigation, yet without prejudice to the confidentiality of the University.

- The Committee may recommend a temporary suspension of the service of the faculty member if charged with a deliberate crime against life, property, honor, honesty or is involved in a strike.
- The suspension period shall commence on the date of the notification of the incident to the competent authorities until the issuance of a decision thereby. The faculty member shall not be entitled to his wage during this suspension period. Should a decision be issued for the non-prosecution or the acquittal of the worker, the latter shall be reinstated and paid full wage against the suspension period.
- In all cases, the Committee may recommend a temporary suspension of the faculty member service if needed, even if the breach he is involved in is not an offense. However, the faculty member shall collect his full wage during the suspension period even if later convicted at the end of investigation.
- The disciplinary penalties that may be imposed on the faculty member have been stated in Article (102) of the labor law and their imposition is subject to the rules and procedures set out in the Labor Law. The disciplinary penalties are as follows:
 1. Warning.
 2. Fine.
 3. Suspension with reduced pay for a period not exceeding ten days.
 4. Deprivation from or deferment of periodic bonus if the University contains a system for such bonuses.
 5. Deprivation from administrative promotion unrelated to academic position.
 6. Dismissal from work without prejudice to the end of service gratuity
 7. Dismissal from work and deprivation from the total end of service gratuity or a part thereof. Such penalty shall not be inflicted for reasons other than the ones mentioned exclusively in Article 120 of the Labor Law.

Appealing Against Decision

- The faculty member may challenge the decision issued against him/her in a letter addressed to the University Chancellor or his authorized representative within maximum of seven working days, as per the University academic calendar, effective from the date of being notified orally or in writing. Otherwise, the decision shall be final and irreversible.
- The appeal shall not be accepted in form unless it is filed within the legal period and meets one or more of the following conditions:
 - a. Failure to observe the investigation procedures provided for in the University Compliance Policy.
 - b. Emergence of previously unknown evidence that may have an impact on the content of the decision.
 - c. The disproportion between the violation and disciplinary penalty.
- If the appeal form is accepted, the Chancellor or his authorized representative shall form another committee to consider it, if necessary. The Committee shall then submit its recommendation to the Chancellor or his authorized representative to take the appropriate decision, and that shall be final.
- The notification shall be considered legal and acceptable if sent to the faculty member via the email provided to him/her by the University, or via an SMS to his/her mobile phone number registered in the University system.



Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 1.2	18/05/2019	Revised procedures and actions that can be taken against Faculty for misconduct	Vice Chancellor for Academic Affairs

Academic Freedom Policy

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

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, practices and institutions. Therefore, it is essential that student, faculty and staff have the right to express their views responsibly without fear of censorship or penalty.

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, both on and off campus. AU supports academic freedom through a professionally responsible manner, and the right to unrestricted scholarly research and publication of findings, and expression of ideas and beliefs and within the limits imposed by the acknowledgment of teaching as a faculty member's obligation and Employee Code of Conduct, and the limits imposed by the resources of the institution. 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, and applies to both teaching and research.

The University balances considerations of the students' cultures and religions with access to new ideas and points of view so that its graduates are prepared to assume responsible roles in a global society. Although students may encounter ideas or images that fall outside their own value system or frame of reference at times during their education, the goal is not to alter their religious beliefs or values but rather to produce responsible graduates with the capacity for independent critical judgment, an understanding of diverse points of view and a tolerance for perspectives different from their own.

In the exercise of civil liberties, AU faculty and staff members have an obligation to make clear that they are not representing the AU or its Board. Without appropriate approval all faculty and staff members must avoid any action which appears to commit the University to a position on any issue. Faculty and staff members must therefore at all times strive to be accurate, exercise appropriate restraint, and respect the right of others to express their opinions.

Addressing Academic Freedom Concerns

Any questions or concerns with issues of intellectual or academic freedom at Ajman University should be addressed through academic channels. A student, faculty or staff member who finds instructionally related material, resources or activity objectionable may request its review by submitting a written statement to the College Dean indicating the reason for the objection. In case the concern unit is the Dean's Office, then the written concern shall be submitted to the Vice Chancellor's Office.



Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	06/12/2020	Initial policy	Council for Academic Affairs

AU Employee Code of Conduct Policy

Policy Owner	Human Resources Manager	Responsible Office	Human Resources
Approved By	Chief Operating Officer	Effective Date	Sep. 2017
		Next Review Date	Jul. 2021

STATEMENT OF PURPOSE

AU's intent in establishing this "Employee Code of Conduct" is to promote ethics, honesty and professionalism within all the echelons of the university and amongst its employees. We believe 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.

OUR COMMITMENT

AU is a community of well-trained and highly motivated men and women. We are committed to the ethical treatment of all our stakeholders. As an institution, we are committed to honesty, integrity, fairness, providing a safe and healthy work environment, and respecting the dignity due to everyone.

CODE

"Creating an environment of Trust and Respect for each other is the key to our current and continued success".

CORE VALUES

Employees should reflect the core values of AU in all activities and across all levels. An employee 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.
- Inclusiveness: AU embraces shared governance, inspires tolerance, and promotes diversity.
- Social Responsibility: AU promotes community engagement, environmental sustainability, and global citizenship. It also promotes awareness of, and support for, the needs and challenges of the local and global communities.
- Innovation: AU supports creative activities that approach challenges and issues from multiple perspectives in order to find solutions and advance knowledge.

OBJECTIVES

- To promote accepted/acceptable behaviors.
- To promote high work standards and ethics.
- To provide a benchmark for members to use for self-evaluation
- To establish a framework for professional behavior and responsibilities

APPLICABILITY

Applicable to all the employees of AU – Faculty and Staff Members.

EXCEPTION

There shall be no exceptions to this policy. All exceptions and deviations to this Policy will require the approval of the management.

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.

OFFICIAL MOBILE / PHONE USAGE

Any local, country-wide or international dialing facilities will be allotted 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 with 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 durations, during office hours, shall be avoided.

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.

The employee shall not use this service to access the following categories of websites, but not limited to:

- a. Chat and Instant Messaging
- b. Social Network Services – for personal purposes.
- c. Gambling, Stocks and Shares
- d. Peer to Peer File Sharing
- e. Adult/Sexually Explicit Material
- f. Personals and Dating
- g. Violence, Intolerance and Hate

Employees may access certain blocked sites with written permission if appropriate and necessary for official, educational and business purposes.

DRESS CODE

All AU faculty/ staff members are expected to present a professional, business like image to clients, visitors, customers and the public. Acceptable personal appearance, like proper maintenance of work areas, is an ongoing requirement of employment with AU.

Casual Wear (like Bermuda shorts/slippers and dresses with prints of abusive language/pictures) must be avoided at all times.

All staff members must carry or wear AU identification badge at all times while at work.

UNIVERSITY PROPERTY

All employees are responsible for the maintenance and accountability of all university property owned or rented. Any damage to equipment, accessories, and décor of the university would be considered as negligence and may be dealt with appropriate disciplinary action.

PROMOTE A POSITIVE WORK ENVIRONMENT

We all want and deserve a work place where we feel respected, satisfied, and appreciated. We need to work within an environment that supports honesty, integrity, respect, trust, responsibility, care and citizenship; which gives us the opportunity to achieve excellence in our work place.

We shall pledge to conduct ourselves in a moral, ethical, and beneficial manner in all aspects of our business activities. Following are few guidelines:

A. MUTUAL RESPECT

At AU, we emphasize teamwork, dignity, mutual respect and we shall vow to be fair, reasonable, and courteous in all of our interactions with each other. Respect includes behavior such as:

1. Treat students, supervisors, co-workers, vendors and customers with courtesy, honor and respect;
2. Build mutual respect and long-term relationships by listening to and communicating openly with others within the workplace;
3. Value and honor all people; follow the Golden Rule 'Do unto others as you would have others do unto you'



4. Have an open mind and act justly by listening to and acknowledging the opinions and differences of others;
5. Respect the dignity, privacy and freedom of all; be courteous and polite.

B. RESPONSIBILITY

We have a responsibility to our students, clients, vendors, our co-workers, business partners, our institution and ourselves. Included are apt positive behaviors such as:

1. Providing timely and high-quality services;
2. Working collaboratively and carrying your share of the load;
3. Meeting all performance expectations and adding value.

C. TRUSTWORTHINESS

We maintain mutual trust and confidence in all our relationships; with our students, co-workers, supervisors and clients. Included here are behaviors which enhance trust:

1. Arrive at the University on time; be punctual and ensure that you foster punctuality in your co-workers too;
2. Work with little supervision, yet seek guidance as needed;
3. Give proper notice of anticipated absences;
4. Keep confidences, never reveal proprietary information, and honor a person's right to privacy;
5. Be honest, reliable and ethical in all business dealings;
6. Avoid sharing any rumors or unofficial information affecting the work environment; discourage such behavior among co-workers.
7. Build confidence between employer, employees, vendors, students and clients.

D. CARING

Business is just not all about services, products and processes, but also a lot about people. We commit ourselves to nurture self and others. Here are some behaviors of caring:

1. Show kindness and gratitude;
2. Take time to help others;
3. Demonstrate humility and confidence without arrogance;

E. 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. Some of ways we can be fair in our dealings with our colleagues are:

1. Giving proper credit to those to whom credit is due and acknowledge the contributions of peers and others;
2. Accepting, as well as giving, honest and fair professional criticism when commenting on another's work or making public comment;
3. Competing on the basis of merit and not to compete unfairly.

F. DEGREE OF EMPOWERMENT AND CONFLICT RESOLUTION

Every Role that is designated at AU has its clear channels of Responsibilities and Authorities. This decides the degree of empowerment provided to each Role.

In cases of Conflict, its resolution will follow the below given process:

Conflict resolution mechanism at team level

1. In such cases, the issues should be addressed at the lowest level at which resolution can be reasonably expected, that is, at Team level.
2. If the conflict cannot be resolved at the lower level, the same is addressed at the higher level (Reporting Manager) through Team meetings. In these team meetings, Reporting Manager shall take a bilateral decision with consensus of team members.
3. If the conflict is not resolved, even at the Manager level, then the guidance of Human Resources representative is to be sought.

Conflict resolution at institutional level

1. In cases of conflicts at the Institutional level, employees should approach their immediate reporting manager or the Human Resources representative.
2. If the conflict is not resolved at the Reporting Manager or Human Resources representative level, it will be escalated to the Management representative.

MISCONDUCT AND DISCIPLINARY ACTION

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:

1. 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.
2. Unauthorized distribution of literature in the work area or posting on institution property.
3. 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.
4. Racial or sexual harassment or any other form of harassment to any student, employee or visitor to the University.
5. Absence without permission.
6. 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.
7. Refusal to accomplish tasks stipulated upon in the employment contract and/or the internal laws of the University.
8. 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.
9. Falsification of any reports, reports pertaining to absence from work, and communications or records including personnel and production records.
10. Threatening, intimidating, coercing or interfering with any person on AU premises at any time.
11. Gaining unauthorized access to institution records and files whether they are locked or otherwise.



12. Theft of any property on institution premises.
13. Submission of false certificates and documents.
14. Professional negligence, which causes material or moral damage to the University.
15. Intentional breaching of the internal published laws of the University.
16. Divulging a professional secret.
17. Any substance abuse
18. Violation of the moral ethics of the UAE society

Employee Misconduct cases shall be dealt with as follows:

1. All misconduct, violations or complaints should be addressed to the Chancellor's Office;
2. The staff member who has committed a transgression 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.
3. 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.
4. The employee may challenge the decision issued against him/her in a letter addressed to the University Chancellor or his authorized representative within a 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.
5. 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.
6. 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.

NO RETALIATION

This policy prohibits retaliation, harassment, or other adverse action because of making a complaint, assisting in an investigation, opposing harassment or otherwise exercising rights protected by law.

MULTICULTURES

We value and respect our rich multicultural heritage. We wholeheartedly engage ourselves in cultivating an understanding and mutual acceptance of cultural diversity existing amongst us. Multi-cultural-ism demands that we use our empathy and intuition to understand the other's point of view, that we seek the common ground, and also that we understand there are many cultures within any given culture. We also free ourselves from favoritism, bias, fear, coercion, discrimination or harassment.

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 caste, language, religion, gender, age, national origin, marital status, 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. We have the right to be free from improper or offensive conduct at work.

Conduct constitutes harassment when:

- a. It has the purpose or effect of creating an intimidating, hostile or offensive working environment; or
- b. It has the purpose or effect of unreasonably interfering with an individual's work performance or
- c. It is otherwise adversely affecting an individual's employment.

A complaint or report of harassment will be immediately investigated and appropriate action will be taken against the offending employee or employees. Such action will depend on the nature and seriousness of the offense and will include strict disciplinary action including termination of service.

If an employee experiences/observes workplace harassment, they should report the incident to the Reporting Manager and or the Office of Human Resources.

STEER CLEAR OF CONFLICTS OF INTEREST

Playing favorites or having conflicts of interest - in practice or in appearance - runs counter to the fair treatment to which we are all entitled. Avoid any relationship, influence, or activity that might impair, or even appear to impair, your ability to make objective and fair decisions when performing your job. When in doubt, share the facts of the situation with your supervisor.

A conflict of interest can arise in day to day transactions such as with suppliers, banks, insurance companies, and people in other institutions with whom we contact and make agreements.

The following actions and conditions are specifically prohibited, but are not intended to enumerate all actions or situations which might be avoided:

1. Working for any of the groups mentioned above and others for personal gain.
2. Employee should not have any direct interest in any company or institution which competes with AU, which sells or supplies to, or buys any products or services from AU.
3. Borrowing from, or lending money to, individuals representing institutions with which business dealings are conducted.
4. An employee should not borrow money or 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 or any type of business relations with AU, as described above.
5. 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 immediate supervisor or manager for possible action.

WORK SAFELY: PROTECT YOURSELF & YOUR FELLOW EMPLOYEES

We are committed to providing a drug-free, safe, and healthy work environment. Each of us is responsible for compliance with environmental, health, and safety laws and regulations. Observe posted warnings and regulations. Report immediately to the appropriate management any accident or injury sustained on the job, or any environmental or safety concern you may have.

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 connotations. Sexual harassment may vary in form depending on circumstances. It may consist of, but not be limited to, any of the following:

1. 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;
2. Transmitting any message, by mail, telephone/ mobile, email etc. which is obscene, lewd, suggestive or blatantly sexual in nature;
3. 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;
4. Jokes or remarks and behavior which have sexually oriented innuendoes;
5. Consistent pattern of unnecessary physical contact, staring or targeting unreasonable attention at an individual in day to day dealings;
6. Any pervasive pattern of behavior which makes employees uncomfortable, insecure or feel humiliated or disadvantaged on the basis of gender differentiation;
7. 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, 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.
8. 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

Policy Statement on Diversity and Inclusivity

Policy Owner	The Cabinet	Responsible Office	The Cabinet
Approved By	Chancellor	Effective Date	Oct. 2020
		Next Review Date	Oct. 2023

Purpose

Ajman University, in keeping with its values and traditions is committed to promoting diversity and inclusivity 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	Council for Academic Affairs	Effective Date	May. 2019
		Next Review Date	Jun. 2021

Ajman University is committed to providing a workplace with an ambience of mutual respect so that faculty members, administrative staff and students can all work amicably and discharge their duties effectively without any harassment or problems. However, as is natural, disputes may arise from time to time between a faculty member and an administrator or other individual.

In such a case, if the dispute is not resolved informally between the concerned parties, the faculty member may report it to the Dean for his/her intervention. If the Dean's intervention also fails to resolve the dispute to the satisfaction of the concerned faculty member, he/she may proceed to file a formal complaint to the Chairperson of the Faculty Grievance Committee (FGC) at the university level. In this case, the complaint shall be referred to as "grievance" and the concerned faculty member filing the complaint shall be referred to as "grievant". It is important to note that a grievance may also be filed if a non-action by an administrator has adversely affected the faculty member's terms of contract, academic freedom, or other provisions as stated in the Contract, Faculty Handbook or other published documents of the University.

Purpose

- To make faculty members aware of their right to formally submit a grievance against an administrator or another individual or party concerning any dispute that could not be resolved amicably.
- To explain the procedure for filing the grievance and how it will be processed by the Faculty Grievance Committee (FGC) of AU.

Statement

A faculty member is entitled to formally submit a grievance to the Faculty Grievance Committee (FGC) of AU if a dispute between the faculty member and an administrator or other individual(s) at the University could not be solved amicably between the two parties. A grievance may also be filed if a non-action by an administrator has adversely affected the faculty member's terms of contract, academic freedom, or some other provisions. The Faculty Grievance Committee (FGC) shall determine, if the grievant has been substantially harmed as a result of the filed grievance, and if so, what relief should be given to the grievant. The University Chancellor appoints members of the FGC and its Chairperson. The findings and recommendations of the FGC will be forwarded to the University Chancellor for necessary action, if any. In making its recommendations, the FGC shall make a determination of whether a violation of regulation, policy, or procedure has occurred. If it is determined that there was a violation, the FGC shall consider factors such as whether the violation was intentional or unintentional and if it was due to some negligence or misunderstanding of rules and regulations.

The duties of the Chairperson of FGC shall include the following:

- Provide relevant information to the grievant for filing a grievance.
- Receive the written grievance.
- Arrange for FGC meetings and schedule the hearings.
- Preside over the meetings and ensure the hearings are conducted in accordance with the specified procedure.
- Ensure that all records are maintained.
- Submit the findings of FGC and its recommendations to the University Chancellor.
- Inform the concerned parties about the final decision taken by the University Chancellor.

The members of the FGC are responsible for:

- Reviewing the grievance and ensuring that it is complete with all required information and documents.
- Deciding if the grievance does in fact need processing by the FGC.
- Hearing the evidence presented by the grievant as well as arguments presented by the defendant(s) and questioning both sides with the aim of finding exactly what happened. This shall also cover the witnesses from both sides and their cross-examination.
- Reaching a decision based on presented evidence, discussions, and cross-examinations and making appropriate recommendations.
- Making sure that confidentiality is strictly maintained.

In case the Chairperson or any other member of the FGC is him/herself the grievant or defendant, he/she must quit the Committee. The University Chancellor will appoint a replacement for that member. The same will apply to a member who is on leave or absent during the hearing process.

Procedure

- The grievance must be filed within one month after the grievant becomes aware of a substantial violation of his/her rights as stipulated in published documents, including the Faculty Handbook. The Grievance Form is provided in the Faculty Handbook. In filing the grievance, the grievant must provide the following information:
 - A detailed account of the incident, situation or circumstances that caused the grievance. The grievant must specify the party against whom the grievance is filed, and specifically explain how that party has violated his/her rights or affected his/her ability to work in a professional or academic capacity, and accordingly what harm or damage occurred.
 - Explain what informal actions were taken to resolve the dispute. It is required that the grievant mentions the date when he/she informed the Dean about it, and why he/she is not satisfied with the solution, if any, achieved by the Dean. If the Dean was not involved before filing the grievance, the grievant must provide reasons for not doing so.
 - Specify what relief is being sought through the grievance procedure.
 - Provide the name, phone number and e-mail address of each person that he/she would like to call as a witness during the hearing process.



- Upon receipt of the grievance, the Chairperson of the FGC will conduct an informal inquiry and meet with the grievant to resolve the matter. If the grievance cannot be resolved within two weeks of its receipt, the Chairperson will forward it to the committee members for review, and they will decide if the grievance requires a formal hearing. If it does, the process for a formal hearing shall be initiated; otherwise, the University Chancellor and the concerned parties shall be informed in writing that the grievance does not deserve a hearing by the FGC as it does not fall within its jurisdiction.
- As a first step in the hearing process, the FGC shall notify the University Chancellor about initiation of the process. It will also inform the concerned parties and provide them with relevant information and documents in order to prepare for the hearing. In this regard, the Chairperson of the FGC shall be responsible for all communication. The concerned parties shall be given reasonable time for preparation and allowed to present their views personally, provide evidence, call witnesses and cross-examine the witnesses of the other party. Each party shall be informed about the identity of the witnesses at least three working days prior to the date of the hearing. It must, however, be noted that the witnesses will only come to the hearing on a voluntary basis and cannot be forced by either party to attend the hearing. A record of the hearing shall be prepared.
- The FGC will try its best to obtain reliable and sufficient information to reach a decision. At the completion of the hearing, the FGC members will deliberate and reach a decision by majority vote. Within one week of the decision made by the FGC, the Chairperson shall present a report to the University Chancellor describing its findings and giving its recommendations. The report shall also include the account of the evidence presented by all parties. It must be noted that the recommendations of the FGC are of an advisory nature only and the University Chancellor makes the final decision. In addition, the report of the FGC may not be used as evidence by either party in a related legal action. After the University Chancellor has made a decision, the Chairperson of FGC shall inform the concerned parties about the final decision.

Appeals

A faculty member can file a written appeal to the Vice Chancellor for Academic Affairs requesting a review of a decision made by an official of the University. The decision must have directly affected the academic or professional activities of the appellant as an individual. The purpose of the appeal process is to determine whether appropriate procedures were followed in making certain kinds of academic or administrative decisions, rather than to re-evaluate the merits of the decisions themselves. The appellant should file his or her appeal within 30 days of being notified of the decision. In addition, the concerned faculty member or professional staff is encouraged to resolve the dispute informally before beginning the appeal process.

After making a preliminary review of the matter, which may include consultations with whomever the Vice Chancellor for Academic Affairs deems appropriate, the Vice Chancellor for Academic Affairs may undertake one of the following decisions:

- Grant the appeal;
- Remand the matter to a lower administrative level,
- Refer the matter directly to the concerned Faculty,
- Reject the appeal if it is found to be without merit.

The Vice Chancellor for Academic Affairs may also appoint a committee to investigate the matter and report the findings back to him. In such a case, the committee will thoroughly investigate the matter and hold such consultations, as it deems necessary to arrive at responsible recommendations consistent with the policies of the University. At the completion of the investigation, the committee will prepare a detailed

report and submit it to the Vice Chancellor for Academic Affairs. After receiving this report, the Vice Chancellor for Academic Affairs will make the final decision on the appeal that he deems appropriate. The appellant will be informed about the final decision made by the Vice Chancellor for Academic Affairs.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 1.2	20/09/2012	Minor change	Human Resources Director
V 1.3	18/05/2019	Responsibility and role of the FCG and clear appeal procedure and decisions	Vice Chancellor for Academic Affairs

Graduate Assistants Policy

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

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.

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 scope of this document is for AU master's programs only.
3. The AU may offer graduate students the following two types of assistantships:
 - a. Sponsored Graduate Research Assistant (SGRA)
 - b. Sponsored Graduate Teaching Assistant (SGTA)
4. For each graduate program 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 must be enrolled as a full-time graduate student in the University for the duration of their assignments.
5. The graduate assistantships will be cancelled if the awardee does not meet his/her enrollment and performance related obligations.
6. The graduate assistantship will be provided during Fall and Spring semester only.
7. The maximum duration of graduate assistantship is 2 years.
8. Assistantships are awarded for designated periods of time by the graduate programs with funds allocated and monitored by the DGSR. Such assistantship might be terminated at any time.
9. Graduate assistantship is contingent upon student status, satisfactory degree progress (i.e. CGPA), and end of semester performance evaluation.
 - a. For Cat-1 GA (refer below for definition), the supervisor or HoD must certify the performance as Good or higher, while for other SGRA/SGTA categories, the performance must be graded as at least satisfactory at the end of each regular semester (i.e. Fall and Spring semesters only).
10. A GA must devote effort to formal study and assigned duties of teaching or research that are designed to enhance their university education. The stipend and/or Credit Hour (CR) fee reduction received by the GA is in recognition of these services and continuity of assistantship is subject to satisfactory performance.
11. The Cat-1 GA shall work in the University as a full-time graduate student without any other part-time or full-time job, within or outside University, and must not be recipient of any other AU scholarship or discount (either partial or full discount). Further, GA shall not be hire as Hourly Paid Research Assistants (HPRA) in AU internally funded research grants.
12. The appointing academic program coordinator or 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 to initiate renegotiation or reassignment of the award with correspondingly less support.
13. It is a responsibility of the Graduate Program Coordinator and/or supervisor to make sure that the GA's are fully aware of all related policies and procedures and abide them.

14. For graduate programs offered in the College of Dentistry, the following GA categories and requirements do not hold. The college of Dentistry graduate programs may offer SGTA positions only (without any tuition fee waiver support), and the allocated funds for such positions will be communicated by the dean of GSR to the college once the budget is approved.

GA Categories and Requirements

15. The following table summarises the SGRA categories and related requirements:

Thesis is Required as part of Degree Completion Requirement	SG-RA Category	Credit Hours Supported by AU	SG-RA Working Hours / week as a part-time RA	Monthly Stipend (AED)	Minimum CGPA Requirements	Registered Credit Hours
Yes	Cat-1 SGRA	9	20	4,000	3.5	9
Yes	Cat-2 SGRA	6	15	3,000	3.0	9
Yes	Cat-3 SGRA	4.5	10	2,000	3.0	9
No	Cat-3 SGRA	3	5	0	3.0	12

16. The following table summarises the categories of SGTA's and related requirements:

SG-TA Category	Credit Hours Supported by AU	SG-TA Minimum Working Hours / week	Monthly Stipend (AED)	Minimum CGPA Requirements	Registered Credit Hours
Cat-1 SGTA	9	20	4,000	3.5	9
Cat-2 SGTA	6	15	3,000	3.0	9
Cat-3 SGTA	4.5	10	2,000	3.0	9
Cat-4 SGTA	3	5	0	3.0	12

Procedure for the selection of GA

The recommended procedure for the selection of Graduate Assistants is as follows:

1. The University shall advertise on its website, English and Arabic newspapers, and other publications, provision of financial support for talented graduate students in its graduate programs. The financial support shall cover their partial or full tuition fees and they may also get a monthly stipend for working as part-time Research or Teaching Assistants in their colleges. The College Deans or HODs can also contact their outstanding graduates with strong potential for graduate studies and research to apply for these positions. Similarly, they can use their networking to invite outstanding graduates from UAE or abroad.



2. The College Dean shall form a Selection Committee to review the applications, interview the short-listed candidates and recommend candidates to the Dean.
3. The College Dean shall inform the selected candidates to formally apply for admission. The College Dean shall also inform the Office of Admissions and Registration about their selection as SGRA or SGTA.
4. The College Council shall discuss and decide the Supervisor(s) for each selected GA. The supervisor(s) will be informed about expected outcomes and they shall be responsible to ensure that the research task is well-defined and properly supervised to achieve these outcomes.

Progress Monitoring of SGRA

The monitoring process for SGRA is as follows:

1. SGRA should have a meeting with the appointed supervisor on a regular basis and keep a record of such meetings.
2. The SGRA, should submit a detailed progress report to the college member of Council of Graduate Studies, with evaluation from the supervisor, at the end of Fall and Spring semesters.
3. The college member of Council of Graduate Studies shall forward this report to the DGSR with his/her comments and endorsement from the College Dean.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	21/10/2018	Initial policy	Dean of Graduate Studies and Research

6.Students



جامعة عجمان
AJMAN UNIVERSITY

Undergraduate Admission Policy

Policy Owner	Vice Chancellor for Academic Affairs Office of Admissions and Registration	Responsible Office	Office of Admissions and Registration(OAR)
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Aug. 2021
		Next Review Date	Aug. 2024

Purpose

This document sets out the University's policy on admissions to accredited undergraduate degree programs, and is applied by the Office of Admissions and Registration.

Definitions

University: Ajman University.

Admissions Period: The period during which applicants can submit their admission application to the Office of Admissions and Registration.

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 (OAR) 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 (OAR) 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.

Registrar: The head of the Office of Admissions and Registration at the University.

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
Bachelor of Dental Surgery بكالوريوس في جراحة الأسنان	5	200	➤ - Grade 12- MOE – (85%) Advanced Track, (80%) Elite Track or its equivalent - EmSAT English (1100) or its equivalent - EmSAT in Arabic (800), alternatively, the international students can register for a non-credited Basic Arabic Language course at AU - EmSAT score of 900 in Mathematics and two of the three science subjects of (Chemistry, Biology or Physics) (In case the score is not available the applicant must pass the admission exam which will be set up by the college) - Passing a personal interview الصف الثاني عشر – وزارة التربية والتعليم – معدل (85%) مسار متقدم، معدل (80%) مسار النخبة أو ما يعادله . امسات في اللغة الإنجليزية (1100) أو ما يعادله . امسات في اللغة العربية بدرجة (800) - ستقدم جامعة عجمان دورة أساسية في اللغة العربية للطلاب الدوليين. اجتياز اختبار الإمسات في الرياضيات و مادتين من المواد التالية: الكيمياء الفيزياء الأحياء بدرجة (900) (في حالة عدم توفر النتيجة ، يجب على مقدم الطلب اجتياز اختبار القبول الذي ستعده الكلية) اجتياز المقابلة الشخصية

College of Medicine كلية الطب

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
Bachelor of Medicine and Bachelor of Surgery (M.B.B.S) بكالوريوس في الطب والجراحة	6	230	See Table 2&3 given below

كلية الصيدلة والعلوم الصحية College of Pharmacy & Health 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
Bachelor of Pharmacy بكالوريوس الصيدلة	4	160	➤ - Grade 12- MOE – (85%) Advanced Track, (80%) Elite Track or its equivalent EmSAT English (1100) or its equivalent - EmSAT in Arabic (800), Alternatively, the international students can register for a non-credited Basic Arabic Language course at AU - EmSAT score of (900) in Mathematics and in two of the three science subjects of (Chemistry, Biology or Physics) (In case the score is not available the applicant must pass the admission exam which will be set up by the college) - Pass the personal interview - Pass the admission tests in Chemistry, Biology, Physics & Mathematics الصف الثاني عشر – وزارة التربية والتعليم – معدل (85%) مسار متقدم، معدل (80) % مسار النخبة أو ما يعادله . امسات في اللغة الإنجليزية (1100) أو ما يعادله . امسات في اللغة العربية بدرجة (800) – كبديل ستقدم جامعة عجمان دورة أساسية في اللغة العربية للطلاب الدوليين. اجتياز اختيار الامسات في الرياضيات و مادتين من المواد التالية: الكيمياء الفيزياء الاحياء بدرجة (900) (في حالة عدم توفر النتيجة، يجب على مقدم الطلب اجتياز اختبار القبول الذي ستعده الكلية) اجتياز المقابلة الشخصية اجتياز اختبارات القبول في الكيمياء و الأحياء والفيزياء و الرياضيات

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
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%) or Advanced Track - EmSAT in Arabic (600), Alternatively, the international students can register for a non-credited Basic Arabic Language course at AU - EmSAT score of (900) in Mathematics or equivalent
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 الكهربائية/القوى والطاقة المتجددة			- EmSAT score of (800) in Physics or equivalent - EmSAT English (1100) or its equivalent الصف الثاني عشر - وزارة التربية و التعليم - معدل (75%) مسار النخبة، معدل (80%) مسار متقدم أو ما يعادله. . امسات في اللغة العربية بدرجة (600) . امسات في الرياضيات بدرجة (900) . امسات في الفيزياء بدرجة (800) . امسات في اللغة الإنجليزية (1100) أو ما يعادله
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 English (1100) or its equivalent . الصف الثاني عشر – وزارة التربية و التعليم - (60%) مسار النخبة والمسار المتقدم، (70%) مسار عام –أو ما يعادله . امسات في اللغة الإنجليزية (1100) أو ما يعادله
B. Sc. in Information Systems\ E- Business Management بكالوريوس العلوم في نظم المعلومات / إدارة مشاريع إلكترونية	4	123	
B. Sc. in Information Technology/ Networking and Security بكالوريوس العلوم في تكنولوجيا المعلومات /الشبكات وأمن المعلومات	4	123	- Grade 12- MOE –(60%) Elite Track, (70%) Advanced Track, (80%) General Track or its equivalent - EmSAT English (1100) or its equivalent . الصف الثاني عشر – وزارة التربية و التعليم - (60%) مسار النخبة، (70%) مسار متقدم، (80%) مسار عام – أو ما يعادله . امسات في اللغة الإنجليزية (1100) أو ما يعادله
B. Sc. in Information Technology/ Databases and Web Systems بكالوريوس العلوم في تكنولوجيا المعلومات /قواعد البيانات وأنظمة الإنترنت	4	123	
Bachelor of Science in Data Analytics بكالوريوس العلوم في تحليل البيانات	4		



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
Bachelor of Architecture بكالوريوس في العمارة	5	170	- Grade 12- MOE –(65%) Elite Track, (70%) Advanced Track, (80%) General Track. Industrial Stream with minimum score of (80%). - EmSAT English (1100) or its equivalent. . الصف الثاني عشر – وزارة التربية و التعليم (65%) مسار النخبة , (70 %) مسار متقدم, (80%) مسار عام -المسار الصناعي بمعدل لا يقل عن (80%). . امسات في اللغة الإنجليزية (1100) أو ما يعادله.
B.Sc. in Building Engineering & Construction Management بكالوريوس العلوم في هندسة البناء وإدارة الإنشاءات	4	132	- Grade 12- MOE –(75%) Elite Track, (80%) Advanced Track. - EmSAT in Arabic (600), Alternatively, the international students can register for a non-credited Basic Arabic Language course at AU - EmSAT score of (900) in Mathematics or equivalent - EmSAT score of (800) in Physics or equivalent - EmSAT English (1100) or its equivalent. . الصف الثاني عشر - وزارة التربية و التعليم - معدل (75%) مسار النخبة، معدل (80 %) مسار متقدم أو ما يعادله . امسات في اللغة العربية بدرجة (600) . امسات في الرياضيات بدرجة (900) . امسات في الفيزياء بدرجة (800) -امسات في اللغة الإنجليزية (1100) أو ما يعادله.
Bachelor of Interior Design بكالوريوس التصميم الداخلي	4	134	- Grade 12- MOE – (60%) in Elite Track, Advanced Track& General Track and Industrial Stream. - EmSAT English (1100) or its equivalent. - الصف الثاني عشر - وزارة التربية و التعليم - معدل (60%) مسار النخبة والمسار المتقدم والمسار العام والمسار الصناعي. - امسات في اللغة الإنجليزية (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

B. Sc. in Management بكالوريوس العلوم في الإدارة	4	126	• Grade 12- MOE – (70%) in Elite Track, Advanced TrackOr (75%) General Track. or its equivalent • EmSAT English (1100) or its equivalent. • EmSAT in Arabic (600), alternatively, the international students can register for a non-credited Basic Arabic Language course at AU • EmSAT score of (600) in Mathematics • Pass the personal interview ➤ الصف الثاني عشر – وزارة التربية و التعليم معدل (70%) مسار النخبة والمسار المتقدم أو (75%) للمسار العام. امسات في اللغة الإنجليزية (1100) أو ما يعادله امسات في اللغة العربية بدرجة (600) – كبديل ستقدم جامعة عجمان مساق في اللغة العربية للطلاب الدوليين. . اجتياز اختبار الإمسات في الرياضيات بدرجة (600) . اجتياز المقابلة الشخصية
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	



كلية الإنسانية 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
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 - EmSAT Arabic (1000). - EmSAT English (950) or its equivalent.
B. A. in Psychology بكالوريوس الآداب في علم النفس	4	126	. الصف الثاني عشر -- وزارة التربية و التعليم - معدل (60%) مسار النخبة والمسار المتقدم والمسار العام. . امسات في اللغة العربية (1000). . امسات في اللغة الإنجليزية (950) أو ما يعادله.

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
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. - EmSAT Arabic (1000). - EmSAT English (950) or its equivalent. . الصف الثاني عشر -- وزارة التربية و التعليم - معدل (60%) مسار النخبة والمسار المتقدم والمسار العام. . امسات في اللغة العربية (1000). . امسات انجليزي (950) أو ما يعادله.
B. A. in Mass Communication - Radio and Television Production بكالوريوس في الإعلام- الإنتاج الإذاعي والتلفزيوني			
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
Bachelor of Law بكالوريوس في القانون	4	132	- Grade 12- MOE – (75%) in Elite Track, (80%) Advanced Track, and (85%) General Track. - EmSAT Arabic (1000). - EmSAT Math (800). - EmSAT English (950) or its equivalent. - Pass the entrance test and personal interview. . الصف الثاني عشر – وزارة التربية و التعليم - معدل (75%) مسار النخبة, (80%) مسار متقدم, (85%) مسار عام. . امسات في اللغة العربية (1000). . امسات في الرياضيات (800). . امسات في اللغة الإنجليزية (950) أو ما يعادله. . اجتياز اختبار القبول والمقابلة الشخصية.

Notes:

- 1- Students who hold agricultural, industrial, technical, commercial, vocational & religious Secondary school certificates are eligible for admission to all degree programs offered to holders of General secondary school certificates.
- 2- 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.
- 3- 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.
 - 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 (M.B.B.S), (BDS) and Pharmacy programs.



- A minimum score of 600 for Business and Engineering programs.
- Ajman University will provide Basic Arabic Language Course for the international students.
- f. EmsAT score of (800) in Physics or equivalent for Engineering programs.
- g. EmsAT score of (900) in Mathematics and in two of the three science subjects of (Chemistry, Biology or Physics) (M.B.B.S) and 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.
- i. EmsAT in Mathematics:
 - A minimum score of (900) for Engineering programs
 - A minimum score of (600) for Business programs
 - A minimum score of (800) for Law program
- j. A passing grade in the written test is required prior to eligibility for an interview.
- k. 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 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-Level subjects or one A-Level subject(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-Level or 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 11/20
- **Holders of Indian Boards**
 - The certificate is awarded after at least 12 years of schooling
 - Obtained of Minimum of 55% 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 55% in the Senior Secondary School Certificate

Applicants to the College of Medicine

The College offers a highly innovative 6-year full time program consisting of one year of Foundation and 5 years of medical studies leading to the award of the degree of Bachelor of Medicine and Bachelor of Surgery (MBBS).

Requirements for MBBS-2021

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 for Arabic Language: A minimum score of 800.

Ajman University will provide Basic Arabic Language Course for the international students.

- c. English language proficiency
EmSAT English - Achieve – 1400+ OR IELTS 6.0 (or other accepted equivalents)
- d. Written test (Duration: 1 hr.):

Content of assessment includes Biology, Physics, Chemistry and Mathematics (at the level of EmSAT subject tests), and problem solving.

- e. A passing grade in the written test is required prior to eligibility for an interview.
- f. Personal interview:
- g. Candidates who fulfilled the requirements A – C may be shortlisted for a personal interview.

1. Admission to the Foundation Year

Table 2: Entry Requirements for Ajman University MBBS Foundation Year

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 in Mathematics	1100
	An EmSAT in two of the three science subjects of (Chemistry, Biology or Physics)	(1100)
American Curriculum	Science Track	90%
	SAT I	(1000/1600)
	SAT II-any 2 subjects (Biology, Chemistry, Physics, and Math I/II)	Score of 550/800 per subject
	Or:	
	EmSAT in Mathematics plus two of the three science subjects of (Chemistry, Biology or Physics)	score of (1100) per subject
	Or	
	AP any 2 subjects (Chemistry, Biology or Physics, Math)	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 or Physics, Math)	Four B (5)s
	b) IGCSE/GCSE A/S level in any 2 subjects of (Chemistry, Biology or Physics, Math)	One A (7) and one B (5)s
	Or	
	IGCSE/GCSE A2 level in any 2 subjects of (Chemistry, Biology or Physics, Math)	Two B (5)s
INTERNATIONAL BACCALAUREATE (IB)	A) IB High Level (HL) in 3 of the 4 subjects (Chemistry, Biology or Physics, 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 document that prove that 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

2. Direct Entry Option

At the discretion of AUCoM, exceptional students who meet the following requirements may be admitted directly into Year 1 (Phase I).

- There are limited seats for this option as it depends on any places that open up as a result of students failing to progress from foundation year. The student needs to be exceptional all round.
- EmSAT English - Achieve – 1550+ OR IELTS 6.5 (or other accepted equivalents).
- The general requirements are the same as for foundation year admission, but with much higher school grades and performance requirements in the written test and personal interviews.

Table 3: Direct Admission Requirements for Ajman University MBBS

Curriculum	Entry requirement	Minimum Score/grade
UAE National Curriculum	Grade 12- MOE –Elite Track	(95%)
	Grade 12- MOE –Advanced Track	(98%)
	EmSAT English	1550
	EmSAT Arabic	800
	EmSAT in Mathematics and EmSAT in two of the three science subjects of (Chemistry, Biology or Physics)	1400
American Curriculum	Science Track	98%
	SAT I	(1200/1600)
	SAT II-any 2 subjects (Biology, Chemistry, Physics and Math I/II)	Score of 650/800 per subject
	Or:	
	a) EmSAT in Mathematics and EmSAT in any two of the three science subjects of (Chemistry, Biology or Physics)	1400
	Or	
	AP any 2 subjects (Chemistry, Biology or Physics, Math)	score of (5) per subject
BRITISH CURRICULUM	Applicant should obtain a 12th grade report card from the school	-----
	c) IGCSE/GCSE “O” level in four subjects (Chemistry, Biology, Physics and Math)	Two A (7)s& two B (5)s
	d) IGCSE/GCSE A/S level in any 2 subjects of (Chemistry, Biology, Physics and Math)	Two A (7)s
	e) IGCSE/GCSE A2 level in any 2 subjects of (Chemistry, Biology, Physics and Math)	Two A (7)s
INTERNATIONAL BACCALAUREATE (IB)	C) IB High Level (HL) in 3 of the 4 subjects (Chemistry, Biology, Physics and Math)	With scores of 5,6,6
	f) IB Diploma	Total of at least 30
India/Pakistan	Boards (e.g. CBSE)	90%
OTHER CURRICULA	Students from other international systems can submit document that prove that have finished 12 years of schooling and have their high school	Students will be evaluated based on their performance in high school,

	documents' equalization completed in the UAE Ministry of Education	equivalent to 98% 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

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

English Language Proficiency

Full admission to programs where the medium of instruction is English are given only to applicants with EmSAT Achieve English 1100, 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).

Full admission to programs where 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 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 at least 2.0 on a scale of 4.0, or the equivalent.

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) will 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.

The transfer of accredited courses is considered if:

- The transfer student has not been subjected to academic or disciplinary dismissal.
- The transfer student satisfies the conditions of AU general full admission, and does not allow, under any circumstances, transfer students to be admitted under the provisions stipulated for conditional admission;
- For students who are transferring to a similar program to the one studied previously, their cumulative grade point average must be at least 2.0 on a scale of 4.0 or the equivalent.
- The number of credit hours for the course is not less than that of AU equivalent course.
- The grade obtained on the previous course must have been at least C (2.0 on a 4.0 scale) irrespective of the course status (Satisfactory, Good, etc.), or the grade that corresponds to "Merit/Good" for institutions using a different grading scale.

6. The course content at the institution previously attended should be similar to that of the corresponding course offered at AU.
7. The transfer student has met the required score of the English proficiency test with a valid certificate.

NB:

- 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 a degree unless they complete at least 50 percent of the credit hours of the program, including the majority of the last 30 credit hours of the program study plan at AU.
- 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.
- It is not grant credit twice for the same course taken at two different institutions.
- A transcript indicating the courses studied at the previous institution is required and it should be certified by MOE, Transfer credit hours will be reported on AU Transcript only when the Office of Admissions and Registration receives the authenticity certificate of the transcript from the sending institution of the student.
- The equivalency certificate is required if the degree has been obtained outside the UAE.
- 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.

Re-admission of Former Students

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

A new university ID will be issued if he/ she satisfy all new admission requirement and should pay the non-refundable application fee.

2. Former students who have missed more than four semesters of enrollment at the university may apply for re-admission and a new university ID will be issued, provided that 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 requirement if any.
 - Repayment of all debts.
 - Pay the non-refundable application fee.
 - Considering the availability of vacant seats in the major.

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

N.B.:

- 1- If the student was warned, he/she must transfer to another program providing that his/her CGPA for the courses to be transferred is 2.0 or higher.
- 2- In special cases, if the student can graduate within the time allowed for completion of a degree program and study plan is still activated, re-enrollment of the student with the same ID and in the same program will be considered after the payment of the required fees of (300Dhs).



Documents Required for Admission

- UAE Secondary School Certificate, or its equivalent, and grade transcript. Certified copies are acceptable
- Equivalency certificate issued by the ministry of education UAE for the holders of foreign high school certificate
- Photocopy of valid passport and residency visa
- Photocopy of a valid UAE national ID Card
- Medical Checkup
- Status of UAE National Service for male students.
- Valid certificate of good conduct, issued by an official body
- passport-size photo
- A valid certificate of proficiency in the English language.
- Other requirements might apply based on an applicant's specific school system. The Office of Admission and Registration has the right to request any supporting documents.

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

Certification of Documents

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

- Secondary school certificates obtained in the UAE must be certificated by the UAE Ministry of Education.
- Secondary certificates obtained abroad must be 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 Office of Admissions and Registration only after payment of the non-refundable application and registration fees.
- Students admitted to Medicine (MBBS Program), Dentistry, Pharmacy, programs are required to pay a seat reservation deposit.
- This deposit is non-refundable and non-transferable and must be paid before the deadline stated in the letter of admission.
- This deposit is deductible from the student's fee once the applicant joins Ajman 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.

Document History

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

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



Graduate Admission Policy

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

Purpose

This document sets out the University's policy on admissions to accredited undergraduate degree programs, and is applied by the Office of Admissions and Registration.

Definitions

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

Admission Requirements for Master's Level Programs

In accordance with the University requirements for graduate programs, holders of a Bachelor degree may apply for full or conditional admission to a Master program if they fulfill the following minimum general requirements. The full details of admission requirements and criteria specific to the programs are provided in the Graduate Student Catalog.

Full admission:

AU's admission policy is non-discriminatory. To be eligible for Full admission, the applicant must satisfy the following:

- i. The Applicants for Master's programs have holder of a Bachelor degree in the same field as that of the program applied for
- ii. The Applicants for Doctorate programs have holder of a Master degree in the same field as that of the program applied for
- iii. His/her Master degree was completed with a minimum cumulative CGPA 2.5 on a scale of 4.0, or its equivalent for the applicants for Doctorate programs
- iv. His/her Bachelor / Master degree was completed with a minimum cumulative GPA of 3 on a scale of 4.0, or its equivalent
- v. His/her Bachelor / Master degree was issued from an accredited university by the Ministry of Education - Higher Education Affairs, UAE
- vi. He/she has attained at least 550 score in TOEFL or its equivalent (if the program is taught in English).
- vii. He/she has attained at least 450 score in TOEFL or its equivalent for the Master of Law.
- viii. He/she has attained at least 500 score in TOEFL or its equivalent for the Doctorate of Philosophy in Law.
- ix. He/she has attained at least 1250 score in EmsAT Arabic (if the program is taught in Arabic)
- x. Pass the interview for DBA applicants, Master of Science in Pediatric Dentistry, Master of Science in Endodontics.

Conditional admission requirements for Master programs

Subject to availability of seats, a conditional admission may be offered if the applicant fulfils the above listed general conditions of full admission but his/her GPA is between 2.0 and 2.49 or his/her TOEFL score is between 530 and 550 or its equivalent (if the program is taught in English).

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

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

- i. He/she is holder of a Bachelor degree in the same field as that of the program applied for
- ii. His/her Bachelor degree was completed with a minimum cumulative GPA between 2.0 and 2.49 on a scale of 4.0, or its equivalent
- iii. His/her Bachelor degree was issued from an accredited university by the Ministry of Education - Higher Education Affairs, UAE
- iv. He/she has attained at least 550 score in TOEFL or its equivalent (if the program is taught in English).

Important:

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

- a. may take a maximum of six credit hours in the first semester of study;
- b. must achieve an overall grade point average of 3.00 on a 4.0 scale, in the first six credit hours of credit-bearing courses studied for the Master's program.



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

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

- i. He/she is holder of a Bachelor degree in the same field as that of the program applied for
- ii. His/her Bachelor degree was completed with a minimum cumulative GPA of 2.5 on a scale of 4.0, or its equivalent
- iii. His/her Bachelor degree was issued from an accredited university by the Ministry of Education - Higher Education Affairs, UAE
- iv. He/she has attained a score between 530 and 550 in TOEFL or its equivalent (if the program is taught in English).

Important:

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

- a. must achieve a TOEFL score of 550, or equivalent, by the end of the student's first semester of study;
- b. must achieve an overall grade point average of 3.00 on a 4.0 scale, in the first six credit hours of credit-bearing courses studied for the Master's program.

Exemption from English Language Proficiency for Graduate Programs

Applicants for an AU graduate program may be exempted from the English Proficiency requirement if the following three conditions are met:

1. English is the native Language of the applicant,
2. The medium of instruction is English for the Bachelor degree of the applicant,
3. The applicant had completed his/her Bachelor degree in his/her home country or in a country where English is the native Language.

Admission to Master Bridge (Foundation) Program

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

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

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

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

Important:

Applicants to the Foundation program must be holder of 530 score in TOEFL before registering their foundation courses.

Conditional Admission Requirements for Master's Level Programs

- a. A student with a recognized baccalaureate degree and a TOEFL score of 530 (197 CBT, 71 iBT) or its equivalent on another standardized test approved by the Commission may be admitted conditionally to a Master's program. Such a student must meet the following requirements during the period of conditional admission or be subject to dismissal:
 - must achieve a TOEFL score of 550, or equivalent, by the end of the student's first semester of study;
 - may take a maximum of six credit hours in the first semester of study, not including intensive English courses;
 - must achieve an overall grade point average of 3.00 on a 4.0 scale, or its established equivalent, in the first semester.
- b. A student with a recognized bachelor degree with a cumulative grade point average between 2.0 and 2.49 on a 4.0 scale, or its established equivalent, and who meets the English language competency requirements for general admission stated in Part I above, may be admitted conditionally to a Master's program. Such a student must meet the following requirements during the first semester or be subject to dismissal:
 - May take a maximum of six credit hours in the first semester of study;
 - Must achieve an overall grade point average of 3.00 on a 4.0 scale, or its established equivalent, in the first semester.
- c. Holders of a Bachelor degree, with a CGPA 2.5 or more out of 4.0, in another field may apply to the Pre-Master foundation program. They will be admitted in the Master program if they pass in the pre-tailored foundation program. Enrolment in the Pre-Master foundation program requires at least 530 TOEFL score or its equivalent.

Admission Requirements for Professional Graduate Diploma Program in Teaching

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

- a. He/she is holder of a four year Bachelor degree other than in education discipline.
- b. His/her Bachelor degree was issued from an accredited university recognized by the Ministry of Education - Higher Education Affairs, UAE.
- c. equivalency certificate issued by the ministry of education UAE for the holders of non UAE Bachelor degree
- d. His/her Bachelor degree was completed with a minimum cumulative GPA of 2.5 on a scale of 4.0, or its equivalent
- e. Evidence of relevant work experience if cumulative GPA is less than 2.5 on a scale of 4.0, or its equivalent.
- f. Must achieve an EmsAT Arabic score of 1250.

Re-admission of Former Students

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

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

- a. The applicant was not subject to behavioral dismissal from AU
- b. The applicant was not academically warned
- c. The applicant must satisfy admission requirements in effect at the time of re-admission
- d. If the applicant transferred from AU to another accredited institution, he/she must apply as a transfer student.
- e. No student will be re-admitted until all fees, charges and dues owed to the university have been paid. A non-refundable re-admission fee is charged.

Documents Required for Admission to a Graduate program

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

- Copy of Bachelor Degree Duly certified (Applicants for Master's programs)
- Copy of Bachelor and Master Degree Duly certified (Applicants for Doctorate programs)
- Copy of transcript duly certified
- UAE Ministry of Higher Education's equivalent certificate of Bachelor's degree issued by foreign higher education institutions (for Master's students)
- UAE Ministry of Higher Education's equivalent certificate of Master's degree issued by foreign higher education institutions (for PhD students)
- Two recommendation letters
- Certificate of proficiency in English :
 - TOEFL score of 450 or equivalent for the Masters of Law
 - TOEFL score of 500 or equivalent for the PhD in Law
 - TOEFL score of 550 or equivalent for the Master's programs taught in English and Doctorate of Business Administration
 - EmSAT Arabic score of 1250 (if the program is taught in Arabic)
- Recent CV
- Evidence of relevant work experience.
- Photocopy of valid passport
- A copy of UAE ID card for UAE residents
- Six recent passport-size photographs
- Medical checkup
- Status of UAE National Service for Men

Notes:

1. AU does not take into consideration Institutional TOEFL scores obtained in another institution
2. Applications for admission are processed only after payment of the non-refundable Application and Registration Fee for Graduate programs which is AED 2000. This fee is reduced to AED 1300 for applicants to Professional Graduate Diploma in Teaching.
- A fee AED 500 will be charged for the evaluation of courses to be transferred. The fee will be refunded if the student is admitted.

Certification of Documents

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

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

Admission Validity

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

Admissions and Registration Fees

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

Document History

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

Transfer Admission Policy

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

Purpose

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

Definitions

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

- 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 of time 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.

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.

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) will 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.

The transfer of accredited courses is considered if:

- The transfer student has not been subjected to academic or disciplinary dismissal.
- The transfer student satisfies the conditions of AU general full admission, and does not allow, under any circumstances, transfer students to be admitted under the provisions stipulated for conditional admission;
- For students who are transferring to a similar program to the one studied previously, their cumulative grade point average must be at least 2.0 on a scale of 4.0 or the equivalent.
- The number of credit hours for the course is not less than that of the AU equivalent course.
- The grade obtained on the previous course must have been at least C (2.0 on a 4.0 scale) irrespective of the course status (Satisfactory, Good, etc...), or the grade that corresponds to "Merit/Good" for institutions using a different grading scale.
- The course content at the institution previously attended should be similar to that of the corresponding course offered at AU.
- The transfer student has met the required score of the English proficiency test with a valid certificate.

NB:

- 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 a degree unless they complete at least 50 percent of the credit hours of the program, including the majority of the last 30 credit hours of the program study plan at AU.
- 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.
- A transcript indicating the courses studied at the previous institution is required and it should be certified by MOE, Transfer credit hours will be reported on the AU Transcript only when the Office of Admissions and Registration receives the authenticity certificate of the transcript from the



sending institution of the student.

- The equivalency certificate is required if the degree has been obtained outside UAE.
- 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

English Language Proficiency requirements

- a. For the programs where the medium of instruction is English the required score of at least 1100 EmSAT Achieve English, 500 in the TOEFL (paper-based test), 61 in TOEFL (iBT), Computer Based Test (CBT) 173, or 5 in IELTS (Academic) Except for Medicine (EmSAT Achieve English 1400).
- b. For the programs where taught in Arabic the required score of at least 950 EmSAT Achieve English, 450 in the TOEFL (paper-based test), or 4.5 in IELTS (Academic).
- c. If the student was admitted at his/her previous university based on the Institutional TOEFL, he/she will be required to re-take the TOEFL test at AU.
- d. Institutional TOEFL score is considered only when the test is taken at an AMIDEAST UAE center.

Transfer of Graduate Students from Accredited Institutions

A Graduate Students from accredited institutions of higher education may apply for admission to the AU Graduate programs and may transfer accredited courses for those students who are transferring to a similar program to one studied previously.

The transfer of accredited courses is considered if:

- The transfer student has not been subjected to academic or disciplinary dismissal.
- The transfer student satisfies the conditions of AU general full admission, and 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 have been 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 at the institution previously attended should be similar to that of the corresponding course offered at AU.
- the course is not a course of the Pre- Master foundation Program,

The transfer student meets the required score of the English proficiency test with a valid certificate

- The transfer student was enrolled in a graduate program that is recognized /accredited by the Ministry of Education in the UAE, or recognized institutions of higher learning located outside the UAE.

Important:

- 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 institution will not be

considered in the computation of the CGPA.

- AU does not grant transfer students a graduate degree unless they complete at least 75 percent of the credit hours of the graduate program 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 (excluding the thesis/dissertation) of the 2nd year of the program.
- The graduation projects and thesis are not subject to transfer.
- It is not grant credit twice for the same course taken at two different institutions.
- for Doctorate of Philosophy in Law, 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 by MOE, Transfer credit hours will be reported on the AU Transcript only when the Office of Admissions and Registration receives the authenticity certificate of the transcript from the sending institution of the student.
- The equivalency certificate is required if the degree has been obtained outside UAE
- 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.

English Proficiency requirement for graduate programs

The transfer Graduate student has to meet the required score of the English proficiency test with a valid certificate

- a. For the Master programs where the medium of instruction is English the required score of at least 1400 on EmSAT Achieve English, 6 in Academic IELTS, 550 in the TOEFL (paper-based test), 79 in TOEFL (iBT), or 213 in Computer Based Test (CBT).
 - ❖ Applicants for master programs taught in English may be exempted from the English proficiency requirement only to 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).
- b. For the for the Professional Graduate Diploma in Teaching program and for the Master programs where taught in Arabic the required score of at least 950 on EmSAT Achieve English, 4.5 in Academic IELTS, 450 in the TOEFL (paper-based test), 45 in TOEFL (iBT), Computer Based Test (CBT) 133.
- c. For the Doctorate of Philosophy in Law the required score of at least 1100 on EmSAT Achieve English, 5 in Academic IELTS, 500 in the TOEFL (paper-based test), 61 in TOEFL (iBT), Computer Based Test (CBT) 173.
- d. If the Graduate student was admitted at his/her previous university based on the Institutional TOEFL, he/she will be required to re-take the TOEFL test at AU.
- e. Institutional TOEFL score is considered only when the test is taken at an AMIDEAST UAE center.

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 is 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 Admissions and 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 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 seven (7) to ten (10) business 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 Admissions and 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 Admission and Registration
V 2.3	21/03/2021	Minor change- updated Transfer of Graduate Students from Accredited Institutions	Office of Admission and Registration

Students of Determination Policy

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

Purpose

Ajman University (AU) in compliance with the “National Policy for Empowering People with Special Needs” is dedicated to ensuring that all its students have equal access to all its academic programs and services. AU is committed to providing 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.

Scope

This policy shall apply to all “Students of Determination” enrolled at AU, regardless of their nationality and gender. They will also be referred to in general term as “People of Determination” (POD).

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”.

Policy Statements

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 with special needs and provide them with access to equal opportunities in education and other services.

Ajman University is committed to ensuring a safe and appropriate environment for students with special needs, by making a reasonable adjustment to enable a full positive academic and social experience.

It is the responsibility of the student to choose to either disclose or not disclose the disability. In case of non-disclosure during the registration 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, and/or parking pass.

The student 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 student health situation changes during the course of his/her academic studies.

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

Procedures

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 Admission and 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 Admission and 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 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.

C. 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.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	20/04/2021	Initial policy	Vice-Chancellor for Academic Affairs

Scholarships and Discounts Policy

Policy Owner	Vice Chancellor for Communication & Community Affairs	Responsible Office	Office of Scholarship & Financial Aid
Approved By	Chancellor	Effective Date	Sep 2019
		Next Review Date	Sep 2022

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.

Statements

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, though.
4. Scholarships/discounts do not cover the fees for failed courses or the courses withdrawn after the drop & 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 & 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. Yet, 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, he / she 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 he deems it right.
15. All university regulations shall apply to all students.
16. In the event of conflict with the provisions of this regulation or any other regulation, booklet or manual, this regulation 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 50% permanent discount in all majors until graduation, except the College of Medicine, provided that they maintain a minimum CGPA of (3.6).
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. 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, he/she shall be awarded only higher discount. Another student shall who meets the conditions. The number of outstanding students may not exceed 5. The student must maintain a cumulative grade point average of at least (3.6) after joining the university.



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. A student 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 CGPA of (3.8) or above.
2. A student 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 CGPA between (3.6) and (3.799).
3. Best achievers in the colleges 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 Admission and 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 step brothers or step sisters 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 step brothers or step sisters 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 step brothers or step sisters 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 or later on, 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

<i>Version</i>	<i>Date</i>	<i>Update Information</i>	<i>Author/ Reviewer</i>
V 1.0	1/09/2019	Initial Policy	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	Council for Academic Affairs	Effective Date	Apr. 2021
		Next Review Date	Apr. 2024

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, the full-time student study load is reduced in accordance with 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

Academic Advising Policy

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

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

The purpose of this policy is to:

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

Introduction

As part of its dedication to academic success, AU is committed to providing high quality academic advising in order to help students in the development and pursuit of academic objectives consistent with their life goal. Academic advising is an ongoing process that connects students to the university. 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. Assessment of department advising shall be done every semester as a part of the regular program review process;
- h. Academic departments advising shall be assessed and reviewed every year;
- i. Funding and resources shall be made available to all units to ensure effective and efficient advising at all levels;
- j. Training shall be provided for all advisors and peer mentors;
- k. Accurate information shall be posted and maintained on the university's website.

The Goals of Academic Advising

- a. To assist students in making their own decisions in choosing an appropriate course of study commensurate with their interests, abilities and meet their academic and life objectives;
- b. To answer questions raised by students and to make them aware of the possible short- and long-range consequences of their choices;
- c. Ensure that all students are aware of resources, services and educational opportunities at the University that may be pertinent to the student's educational objectives;
- d. To be an information source regarding university policies, procedures;
- e. To facilitate resolution of academic problem, conflict and concern, as appropriate;
- f. Refer students as necessary to other resources;
- g. To encourage students to be creative in their academic choices;
- h. To be an on-going source of dialogue and advice about life and academic goals for students.
- i. Collecting and disseminating information on student needs, wants perceptions, and trends in order to enhance AU institutional effectiveness and adaptability.

Implementation of Advising

University Responsibilities

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

Colleges and Departments Responsibilities

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

- 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

Student Disciplinary and Academic Integrity Policy

Policy Owner	Dean of Student Services	Responsible Office	Deanship of Student Services
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Dec. 2020
		Next Review Date	Dec. 2023

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.

Statement

- a- 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.
- b- 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).
- c- 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.
- d- This Committee does not have jurisdiction to hear the complaints submitted against faculty members or staff, even if the complaint was submitted by students.

Formation of the Committee and its Meetings

- a- 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.
- b- The Student Plagiarism Committee (SPC) shall be formed by each College Dean. It shall consist of at least three members.



- c- 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.
- d- Any of the Committee's members shall be excluded if s/he is a party to or a witness in the issue under consideration.
- e- 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.
- f- 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

- a- Any person shall have the right to file a complaint against a student who commits a disciplinary violation.
- b- All complaints shall be in writing and supported by available evidence.
- c- 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.
- d- The content of the complaint shall not be disclosed to anyone other than those involved in resolving it.

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.

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. Ajman University deploys plagiarism detection software as well as other verification tools to detect any act of plagiarism.
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.

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 when conducting on campus or online exams. These include but not limited to: mobile phones, smart watches, headphones, and earphones even if switched off.
5. Possession of unauthorized 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 centre 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 section titled ***"Disciplinary Penalties for Violation of Examination Rules"***.

Committee's Response to Referred Violations

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

❖ 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.

❖ 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.

❖ Disciplinary Penalties for Violations of Examination Rules

1. A written warning is issued for every student committing a violation as described by Article “*Disciplinary Violation*”, 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 “*disciplinary violation*”, 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 “*disciplinary violation*”, 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 “*disciplinary violation*”, 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 “*disciplinary violation*”, 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 “*Disciplinary Violation*”, 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 under **Section Disciplinary Penalties** shall be imposed on the student.
9. Upon a written request submitted by the student to the Office of Admissions & 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.

❖ 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 Admissions & 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.

❖ Additional Measures

1. In addition to the penalties stated in the Student Disciplinary 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 help 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.
3. 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.
4. 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.
5. 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

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.

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 Admissions and Registration office 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.
5. 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.
6. The investigation report shall be documented.
7. 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.
8. 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

Upon imposing disciplinary penalties, the following guidelines shall be observed:

1. 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.
2. The grounds on which the Committee has based its recommendation shall be spelt out.

Notifying and Filing Disciplinary Decisions

- The Chancellor's Office shall notify the Admissions and Registration office 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 Admissions and Registration Office shall be legal and acceptable.
- The Dean shall notify the decision of the SPC to the Office of Admission and Registration within no more than one week of its date of issue. The Dean's office shall notify the decision to the concerned student.
- 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.
- Disciplinary decisions or their content may not be released to any media outlets except by the Chancellor or his authorized representative.

- 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

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 it involves 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. 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

- 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 Admissions and Registration office shall be legal and acceptable.
- 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.
- 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.
- Any exceptions to this policy must be well justified and escalated to the Chancellor for a final decision.
- This policy shall come into force and effect on the date of its signature by the Chancellor or his authorized representative.

Document History

Version	Date	Update Information	Author/ Reviewer
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



Student Grade Appeal Policy

Policy Owner	Registrar	Responsible Office	Office of Admissions and Registration
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Feb. 2020
		Next Review Date	July. 2023

Purpose

The student appeal is a request for review of a decision made with respect to a student grade. This policy, which applies to all student members enrolled at Ajman University, provides a means to request reconsideration of the grade decision.

Statement

Grade Complaints concerning final examination results need to be submitted within 15 days following the announcement of examination results. Students may appeal a final grade after it has been posted through formal procedures. Students wishing to appeal a final examination grade result must adhere to the following steps:

Grade Appeal Procedure

1. The student must submit an online request Grade Appeal, which is routed to the Office of Admission and Registration.
2. The Office of Admission and Registration will screen the form to verify that the intended course does not have a prohibited status (has not reached 25% absenteeism from class attendance).
3. Upon clearance and approval from Office of Admissions and Registration the request is routed to the Office of Finance for charges allocation.
4. The application is then routed to the concerned college where deliberations are conducted and the decision is taken.
5. In the event the appeal is rejected and included in the system, an automated email is sent to the student notifying him of the decision. The student can also access the online 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 Admissions and Registration to reflect the approved grade change on the student academic record.
7. The student will receive an email notification on his university email that the request is completed and the changed has taken place. The student is able to verify the completed status of the request by accessing the online system.



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	

Student Activity Policy

Policy Owner	Director of Student Life	Responsible Office	Office of Student Life
Approved By	Vice Chancellor for Academic Affairs	Effective Date	May 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

- widening and promoting the social aspects of the students' personality
- training students for voluntary work.
- contributing to the rapid integration of new students in University atmosphere.
- Organizing Global day.

The unit of Student Activities and Development is responsible of the following main Social and Cultural events

- 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.
- Promoting social awareness among students including for a variety of charitable causes, such as visiting institutions, orphanages, hospitals, etc.
- Organizing heritage day for all nationalities.
- Organizing activities, during the holy month of Ramadan.
- Cooperating with the UAE institutions and authorities in health-awareness campaigns on subjects such as illegal drugs and smoking.
- 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 Rights and Responsibilities Policy

Policy Owner	Dean of Student Services	Responsible Office	Deanship of Student Services
Approved By	Vice Chancellor for Academic Affairs	Effective Date	May 2021
		Next Review Date	May 2024

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

- l. 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 Conduct.
- 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

Student Counseling Policy

Policy Owner	Counseling Manager	Responsible Office	Counseling Unit
Approved By	Dean of Student Services	Effective Date	Mar. 2021
		Next Review Date	Mar. 2024

Purpose

The University recognizes the importance of a counseling service, and the need for healthy and safe study environment that will contribute to the well-being and productivity of staff and students. The Policy main purpose is to:

- Outline the University's commitment to provide counseling to all students.
- Ensure compliance with all applicable regulations.
- Manage mental and social health of the students appropriately for the protection of the university's reputation and standards for current and future students.

Statement

- All students at AU have access to the social and psychological benefits associated with mental health issues provided the University Student Counseling office.
- Counseling Unit (CU) works with students struggling with a variety of personal issues. Ensuing are some of the common concerns:
 - Adjustment to college life
 - Academic challenges
 - Issues of past, recent, or present physical, emotional problems
 - Emotional distress (anxiety, stress, grief, depression)
 - Low self-esteem - feelings of inadequacy
 - Relationship issues (marital, friends, roommates)
 - Past or recent losses or trauma
 - Spiritual challenges
 - Body image, eating, and nutritional concerns
 - Crisis situations when life gets overwhelming (including feeling suicidal and all other mental-health emergencies)
 - And many other unique issues specific to each person.
- Any effective system for administering counseling student mental health benefits must accommodate a wide variety of student circumstances. More frequently than not, these accommodations conflict with each other, so a single procedure to be followed by each student is not likely to satisfy all students. Therefore, the system that has evolved is designed to provide options meeting as many needs as could be anticipated at the time this document was prepared.
 - If it becomes clear in the counseling session that there is a real danger to oneself or to others, we are required to take action.

- ii. Additional records of sessions are sometimes taken such as the counselor's personal notes and audio tapes. These are destroyed in a timely manner and do not become part of an individual's counseling record.
- iii. Each individual is entitled to privacy in his/her work with a counselor.
- iv. All contacts with the counselor are confidential to the Student Counseling office professional staff.
- v. Written permission is required for Counseling Services to release information to others outside the Counseling Services.

Students who fail to attend counseling service sessions

- Counselor will attempt to contact students through secure messaging to schedule another appointment suitable for both counselor and student:
 - a. Contact will include a reminder of the failure to attend session.
 - b. If the counselor does not hear from student within two weeks of the initial no-show, counselor will render the file inactive.
 - c. If the student does not schedule within 30 days, the student's file will remain inactivated and the student may have to complete the initial intake process if the service is requested at a later date.
 - d. Additionally, if a student is chronically late in canceling his or her appointments, the student may become ineligible for services. If a student does not notify the Counseling Unit with at least 24 hours' notice on two consecutive occasions, the student's next appointment will be at least 30 days from the last cancellation.

Guidelines for Housing/Counseling considerations

- These guidelines will be used when reviewing the housing counseling request.
 - a. The process of verifying and reviewing a Counseling Request can take one week or more before a decision is made and the student is informed of the decision.
 - b. The student is strongly encouraged to sign a Release Form with his/her Medical/Mental Health Professional. This will allow the University Housing to verify the submitted information.
 - c. If the student is currently seeing a Medical/Mental Health Professional, the student will need to provide documentation from the Medical/Mental Health Professional, on the professional's stationary, detailing:
 - i. Length of time the student has been seen/under treatment by the Medical/Mental Health Professional.
 - ii. Treating Medical/Mental Health Professional's contact information.
 - iii. Psychological disorder.
- If the student is not currently seeing a Medical/Mental Health Professional, the student will need to do the following:
 - a. Make an appointment with a Medical/Mental Health Professional.
 - b. Be seen or under treatment for a minimum of FOUR visits (more visits may be necessary if clinically required) with the Medical/Mental Health Professional.



- c. Provide documentation from the Medical/Mental Health Professional, on professional's stationary detailing:
 - i.Length of time the student has been seen/under treatment by the Medical/Mental Health Professional.
 - ii.Treating Medical/Mental Health Professional's contact information.
 - iii.Psychological disorder.
- d. At AU student Counseling Unit, the student's issue must be clinically significant and be directly related to the Housing situation. Merely having a psychological disorder does not indicate that the Medical/Mental Health Professional will recommend that a Housing contract be cancelled. Each request will be reviewed by the entire clinical team before a recommendation can be made. Ultimately, the final decision will be made by University Housing.

Release of Policy Information

- All communication between a student and a counselor, psychologist, or psychiatrist is confidential and will not, except under the circumstances explained below, be disclosed to anyone outside of the Counseling Services unless written authorization to release information is given.
 - a. A Release of Information Form will need to be signed to have a Counseling Services professional staff communicate the information to any concerned party.
 - b. A record is kept of a student's work with the Counselling Unit. It contains information a student has provided to the Counseling Services in writing as well as counseling notes from the student's sessions. The record remains in the Counseling Unit for a period of three years following the student's last visit; at that time, it is destroyed.
- Most limits to confidentiality are to ensure safety. If there is evidence of imminent danger of harm to the student or other(s), the CU will take action.
- Counseling information cannot be released to the following without the client's consent:
 - a. Parents or guardians, spouse, siblings, or significant other
 - b. Another doctor, lawyer, or health organization
 - c. Insurance company.
- Procedure:
 1. A student may review his counseling record in the confines of the Counseling Unit with a counselor and only by appointment.
 2. A student wishing to grant release of information to another party must complete the Release of Information form.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Council Service Director
V 1.1	20/09/2012	Minor change in policy authority	Director of Student Affairs
V 1.2	09/05/2017	Minor change	Counseling Manager
V 1.3	18/03/2021	Reviewed and no changes required	Manager of Student Counselling Unit

Student Complaints Policy

Policy Owner	Dean of Student Services	Responsible Office	Deanship of Student Services
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Oct. 2018
		Next Review Date	Jul. 2021

Purpose

This policy applies to all enrolled students and is designed to enable them to lodge a complaint with full confidence, knowing that their complaints shall be dealt with in all confidentiality and assurance of no detriment to the student.

Statement

Ajman University (AU) strives to fulfill the needs of students through quality education and aims for the highest standards of excellence in all its activities. AU takes any legitimate student complaints very seriously in relation to the provision of services, and attempts to solve them in a clear, transparent, and objective manner.

A complaint is an expression of discontent by a student or group of students, which resulted from a decision, action or behavior related to services provided by the University that are described in its catalogs and handbooks.

This policy does not intend on replacing other complaints mechanism existing within the University, and complaints of the following nature are not within the scope of this policy:

- a. Anonymous complaint
- b. Student grades or examination results
- c. Disciplinary issues related to the Code of Conduct

Procedure

1. All complaints will be handled with discretion and confidentially to ensure that the interests of the student as well as the member of staff are respected and preserved.
2. All complaints will be recorded and filed with the Deanship of Student Services Office and their records will be kept for a minimum of five years.
3. Whenever possible, a student with a complaint should seek to resolve the complaint informally by raising the matter directly and at the earliest with the relevant member of staff, that could either be a Dean of College, a Director, or Manager.
4. In the event the informal approach has not produced a satisfactory result, the student can lodge formally in writing the complaint with the Deanship of Student Services within two (2) weeks of the initial incident to the email address: studentvoice@ajman.ac.ae.
5. To ensure that the complaint is dealt with efficiently and promptly, student full name, ID number, College name, Major, and contact information must be provided, in addition to any supporting documentary evidence.



6. Upon receipt of the written formal request and confirmation that the complaint falls within the merits set by the policy, the Student Affairs Coordinator shall refer the complaint to the relevant designated official responsible for the service to investigate the issue(s) raised.
7. The student will receive acknowledgment of receipt and will be informed on the steps taken in addition to the time frame for the investigation outcome.
8. The designated official responsible for the service shall submit a report to the Student Affairs Coordinator with the findings within fifteen days (15) of receipt of the complaint and the Student Affairs Coordinator shall inform the student in writing with the results.
9. If the student is still dissatisfied with the outcome and considers that the complaint is still unresolved, He/She may raise the issue within seven days (7) with the Dean of Student Services, stating in writing the grounds for disagreement with the outcome.

Student disagreement with the outcome of the investigation does not constitute a ground for further review, unless it is related to the availability of new evidence or an error with the complaint process. Nevertheless, the Dean of Student Services shall organize a meeting with the student and seek to clarify any outstanding issues and convey the reason behind the investigation outcome.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Director of Student Affairs
V 2.0	29/10/2018	New policy	Dean of Student Services

Student Athlete Class Attendance Policy

Policy Owner	Director of Student Life	Responsible Office	Deanship of Student Services
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Dec. 2018
		Next Review Date	Aug. 2021

Purpose

This policy intend on helping AU Student Athletes succeed educationally by maintaining the balance among academic, athletic and personal growth.

Statement

Student Athletes are expected to attend all scheduled classes unless excused by the professor/instructor as a result of scheduled intercollegiate sports competitions that conflict with classes. However, Student Athletes should make an effort to schedule classes that limit the amount of class missed due to scheduled intercollegiate sports competitions and associated travel.

It is the responsibility of the Student Athletes to notify their professors/instructors in advance of impending class absences due to intercollegiate sports competitions. If a Student Athlete has provided an official excuse letter in a timely manner, the professor/instructor may not penalize the Student Athlete academically for these absences and is expected to provide reasonable assistance to the Student Athlete concerning instruction and assignments that were missed. Classes should not be missed for practice, meetings or other non-competitive reasons. Student Athletes are not permitted to participate in intercollegiate sports competitions on any day on which final exams are scheduled.

Procedures

- Student Athletes must consult with their professors/instructors and coaches in advance to eliminate as many conflicts between classes and intercollegiate sports competitions as possible.
- Student Athletes should request an official excuse letter from the Office of Athletics when intercollegiate sports competitions conflict with their classes. Student Athletes are expected to give as much notice as possible to the Office of Athletics.
- Student Athletes should submit the official excuse letter to their professors/instructors prior to the scheduled games or matches. Nevertheless, it is understood that weather condition and sports tournament play might result in late changes to the schedule. If a late schedule change is made, Student Athletes are expected to communicate with their professors/instructors and inform them accordingly.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	29/10/2018	New policy	Director of Student Life

Student Finance Policy

Policy Owner	Chief Operating Officer	Responsible Office	Office of Finance
Approved By	The Cabinet	Effective Date	Sep. 2017
		Next Review Date	July. 2020

Purpose

AU's Student Finance Policy is set to inform students, parents or sponsors about the financial rules and regulations implemented by AU, in addition to the financial responsibilities, associated with admission to graduation processes, withdrawal or dismissal from the University. Students have the right to re-fund, exemption, or receive scholarships according to clear and well-defined rules and regulations.

Application and Registration fees

- Application and registration fee for undergraduate programs and Professional Diploma in Teaching is AED 1,300 paid in cash as one installment upon the submission of admission application and is not part of the tuition fees. The application and registration fee is non-refundable, except when the student's application is rejected in which case an amount of AED 1,000 will be refunded to the student.
- Students who wish to apply for transfer of courses from other accredited institutions pay a non-refundable fee of AED 500. This fee shall be considered part of the application and registration fee if the student is admitted in Ajman University.
- Students admitted to the Medicine, Dentistry, Pharmacy, Bachelor of Architectural, and Doctorate of Business Administration are required to pay a seat reservation deposit. This deposit is non-refundable and non-transferable and must be paid before the deadline stated on the letter of admission. This deposit is deductible from the student's tuition fees once the applicant joins the university. If the student asks to defer admission to the following semester and the request is approved, the deposit will be applied to the following semester.
- The application and registration fee for graduate programs is AED 2,000 paid in cash as one installment upon the submission of admission application and is not part of the tuition fees. The application and registration fee is non-refundable, except when the student's application is rejected in which case an amount of AED 1,700 will be refunded to the student.

Tuition fees

The University reserves the right to increase the tuition and other fees up to 10% per academic year when deemed necessary, and as per Federal Law no. (8) of 2017 on Value Added Tax, 5% VAT will be added to all item outlined in additional fees.

- ❖ Undergraduate and Graduate credit hours fees for courses and programs are determined in accordance with the credit hours system.

❖ Laboratory, Clinic and Studio Fees

- Students registered in the programs offered by the College of Dentistry and College of Pharmacy and Health Sciences pay a flat semester fee for specialized laboratory sessions and clinics.
- This fee does not include lab fee included in the study plan for the program of Architecture and Interior Design, and the program of Bachelor of Art in Mass Communication.

❖ Additional Fees encompass the following :

- Orientation service Fee
- Lab fee for each registered course having lab sessions
- fee for courses having a tutorial session
- fee for graduation project courses for the College of Architecture, Art and design, and the College of Mass Communication
- fee for internship courses

Upon registration, students should pay the tuition fees in full in order to avoid the late payment fees or suspension of any or all AU services. The Office of Finance has the right to take any necessary action against any student who has not settled their due balance, including suspension of registration, dropping the registered courses, suspension of services, and ineligibility to attend exam sessions.

Refund

a. Application and Registration fee

- The application and registration fee is not part of the tuition fees. It is non-refundable, except when the application is rejected.
- The application and registration fee for the graduate programs is not part of the tuition fees. It is non-refundable, except when the application is rejected.

b. Add/Drop Period:

- During the add/drop period, students may add or drop courses without incurring charges. If a student withdraws from one or more courses during the add/drop period, the fees of the dropped course(s) will be credited to the student account for the following semester.
- A student may withdraw from one or more course(s) after the end of the add/drop period, provided s/he remains registered in at least three courses during that semester (nine credit hours). In this case, the student does not have the right to claim any refund for the fees of the withdrawn courses.

c. Suspension of Registration:

- During add/drop period, a student may submit an application for suspension of registration for one or a maximum of two consecutive semesters. The application should be submitted to the Office of Admissions and Registration. In this case, the full amount of any fees paid shall be credited in full to the student's balance for the following semester, or refunded two weeks after the submission of the application for refund to the Student Account Officer (at the Office of Finance).



- If the student submits an application for suspension of registration for one or two semesters during the two weeks following the end of the add/drop period, he/she shall be entitled to only 50 percent of the tuition fees of the semester in which he/she submits the application for suspension.
- If the student submits an application for suspension of registration after the end of the two weeks following the add/drop period, he/she will not be entitled to claim a refund of any part of the tuition fees of the semester in which he/she submits the application for suspension.
- If a student wishes to reclaim any amount from a credit balance – in case of suspension only, he/she must fill in an Application for Refund Form and submit it to the Student Account Officer (at the Office of Finance) after the end of the add/drop period. A cheque payment will be prepared within two weeks from receiving the application. If the student fails to do this, the amount will be credited to the student balance for the following semester.

d. Withdrawal from the University:

- During the add/drop period, the student may submit an application for suspension of registration and withdrawal from the University. The application should be submitted to the Office of Admissions and Registration. In this case, the student is entitled to a full refund of tuition fees paid for the semester in which he/she submits the application for withdrawal. The refund will be made within 1 week after the submission of the application for refund to the Student Account Officer (at the Office of Finance).
- If the student makes an application for suspension of registration and withdrawal from the University within the two weeks following the end of the add/drop period, he/she is entitled to a refund of only 50 percent of the tuition fees for the semester in which he/she submits the application.
- The student shall not be entitled to claim a refund of any part of the tuition fees if the application for suspension of registration and withdrawal from the University is made more than two weeks after the end of the add/drop period.

e. Disciplinary Dismissal:

A student who is dismissed from the University for disciplinary reasons is not entitled to any refund of tuition fees of the semester of dismissal.

Books

The University will supply course E-books to students at reasonable prices. It should be noted, however, that a student in receipt of a fee exemption as listed above will not be provided with E-books without charge.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Vice President – Administrative and Financial Affairs
V 1.1	20/09/2012	Minor change - fee waiver	Financial Controller
V 1.2	03/09/2017	Revised terms for registration fees, refund, and suspension of registration.	Chief Operating Officer

AU Student Records Policy

Policy Owner	Registrar	Responsible Office	Office of Admissions and Registration
Approved By	Vice Chancellor for Academic Affairs	Effective Date	March 2021
		Next Review Date	March 2024

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 Admissions and Registration, and all other academic and administrative units that are primary and secondary custodians of specific data collected and stored about the students of the University.

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 Admissions and Registration can modify student information. Any request to access the Student Information System requires the approval of the Registrar.
- Depending on their roles and responsibilities, faculty, staff, and students might be authorized to have access to SIS to perform certain student academic transactions as appropriate.
- The Office of Admissions and Registration is the Custodian of student academic records and data, and the Custodian of 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 Admissions and 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 Admissions and 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 Admissions and 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 Admissions and 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 Admission and Registration Office.



- Beginning of the first semester 2020-21, the Office of Admissions and 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 2. 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
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 Admissions and Registration. The Office of Admissions and Registration retains permanently as archives the grade results of all courses. Official transcripts of results are generated by the SIS, based on the data supplied to it by faculty members.

Notwithstanding the paramount importance of the centralized record-keeping systems, academic units generate and accumulate significant records relating to student progress, and these need to be managed appropriately. Work completed by students for assessment, including essays, assignments, presentations, examination scripts, but not theses, need to be retained for a minimum of one semester (final exam papers are kept for a minimum of one academic year) before being destroyed.

This is the period set by the Academic and Scientific Council resolutions. Copies of theses for higher degrees are retained in the University Library.

Student result records

Although the digital official results records are those maintained by the Office of Admissions and Registration, academic units will have local records of students' achievements in particular components of a unit of study or course. Such records must be kept for a minimum of one year. Records of changes to assessment results should be attached to the University results file.

Teaching

Most course delivery records retained locally in academic units need only to be retained as long as they are needed for teaching or administrative purposes. This includes course notes, study guides, reading lists, assignments, etc. Records relating to teaching policy matters are required as University Archives.

Electronic Information

Disposition of electronic information must be performed in a manner that protects private or confidential information. The sale, donation, scrapping, or internal University transfer of computers or other electronic devices 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

Student Information Release Policy

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

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 academically warned students 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 Admissions and Registration database: Information available for release is limited to:
 - Full name
 - Address and telephone number
 - Degree(s) and date of degree(s) awarded by AU
 - 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 1.3	15/03/2021	Minor change – update on information release guidelines	Office of Admissions and Registration

Career and Placement Services Policy

Policy Owner	Office of Career Services Manager	Responsible Office	Office of Career Services
Approved By	Office of Development and Alumni Affairs	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 Career Advancement Program Policy

Policy Owner	Office of Career Services Manager	Responsible Office	Office of Career Services
Approved By	Office of Development and Alumni Affairs	Effective Date	May 2021
		Next Review Date	May 2024

Purpose

This document sets out the University's policy, which regulates AU career advancement programs within the University for all enrolled university students and graduates.

Definitions

Trainee Student: AU Student who is registered in undergraduate or postgraduate program within AU and looking to acquire further practice/experience for the future career advancement.

Graduate Trainee Student: AU Student who has completed all required courses and looking to acquire further practice/experience for the future career advancement.

Line Manager: Dean of the College, Department Head, Director or Manager.

Statement

Since its inception, AU has supported the concept of student training program, and this training will involve activities that will support student career and will not result in any displacement of students or impair existing academic status. In addition, accepting students in any department within the university does not suggest or guarantee a full-time position within the Office structure.

- All training opportunities will be announced by Office of Career Services.
- Training opportunities priority will be given to UAE national students / Graduate Trainee Students and then to other AU Trainee Students.
- Training requests should be submitted by the student based on advancement opportunities offered by the Line Managers.
- Line Managers should assign annual budget for student training purposes.
- All students will be required to complete a selection procedure, which will assess them against a range of specified criteria. The selection process is based primarily on several carefully considered factors such as HR assessment, student records, and Dean's feedback of capability to assume responsibility, experience, knowledge, skills, related qualifications, and career interests. These factors will be considered against the availability of opportunities and the qualifications of other students.
- The maximum hours a Student may work during the academic year is four hours per day.
- The maximum hours a Graduate Trainee Student may work during the academic year is eight hours per day.
- AU may grant a lump sum amount for the students as an appreciation incentive for the period of the training.
- Enrolled students will receive AED 23 per hour.



- Graduate students (Except Engineering Graduates) will receive an AED 30 per hour.
- Engineering Graduate students will receive an AED 42.6 per hour.

Procedures

- At the beginning of each semester, the Office of Career Services will send a memo to all AU departments who have Student career advancement opportunities.
- Line Managers must complete the Student Career Advancement Requisition Form and submit it to the Office of Career Services.
- After receiving the feedback from concerned Line Managers, Office of Career Services will announce to all Students about the training opportunities available within AU.
- The Office of Career Services will liaise with AU Alumni Association to announce all career advancement opportunities available to AU fresh graduates.
- After receiving the request(s) from the Line Managers, the Office of Career Services will share appropriate student database with the requesting department.
- Line Managers may seek the support of the Office of Human Resources expertise to conduct a panel interview, in order to select the most appropriate student for the training program.
- The Line Manager after selecting the successful student will inform the Office of Career Services officially about the decision and the period of the advancement program.
- In order to encourage the students to take the advancement program seriously and achieve its objectives, the duty of the student should be recorded using an attendance sheet as record log.
- The Line Manager is responsible for sending the program report along with the attendance sheet to the Office of Career Services for review and then to be sent to finance department for the incentive payment on a monthly basis.
- By the end of the entire advancement program, the Line Manager should officially notify the Office of Career Services and send all required reports.
- Each Trainee should sign a training contract in the Office of Career Services.
- The Office of Career Services creates a fingerprint for every trainee.
- The Office of Career Services prepares the report of monthly rewards and sends it to the Financial Department for auditing and processing.
- The Office of Career Services shall issue the Trainee an experience certificate for the official attended advancement program period.

Training Relationship

- Career Advancement opportunity does not guarantee any future employment in AU.
- Trainee Student may be appointed for any portion of the academic year.
- A department may extend the training period by a mutual agreement with the Office of Career Services.
- The trainee must have a valid residency visa as an essential requirement for being considered in the program.

Grievances

Trainee Student and the Line Manager are encouraged to discuss any training obstacles before commencing disciplinary action or a formal grievance. The Office of Career Services staff are always available to assist both students and Line Managers in resolving training-related issues. Should such informal methods of resolution fail, a formal meeting must be conducted by the Office of Career Services Manager with the student to find ways to solve the matter.

General Issues

- Telephones, computer hardware, software, and computer network systems, in addition to any other AU resources present or used at a training site, are for business usage only and should not be used for personal matters.
- All information concerning AU affairs and its stakeholders should remain private and confidential and not be relayed to any external party or used for personal gain.

The Trainee Student should adhere to AU standard code of conduct and dress code applicable to AU employees.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2018	New Policy	Career and Placement Services Manager
V 1.1	30/05/2021	Updated the office name to "Office of Career Services"	Office of Career Services Manager

7. Health, Safety and Environment



جامعة عجمان
AJMAN UNIVERSITY

Environmental Health and Safety Policy

Policy Owner	Environmental Health and Safety Officer	Responsible Office	Office of Environmental Health and Safety
Approved By	Chief Operating Officer	Effective Date	May. 2019
		Next Review Date	May. 2022

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

Smoking Policy

Policy Owner	Chief Operating Officer	Responsible Office	Office of the Chief Operating Officer EHS Committee
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 2024

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.

For the purpose of this policy, "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.

The objective 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, staff, dependents, contractors, vendors and visitors.

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 non-smokers 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

While students, faculty and staff members, and visitors are encouraged to make healthier choices, AU has created clearly-marked designated smoking areas. Seven 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
	Female	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

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.

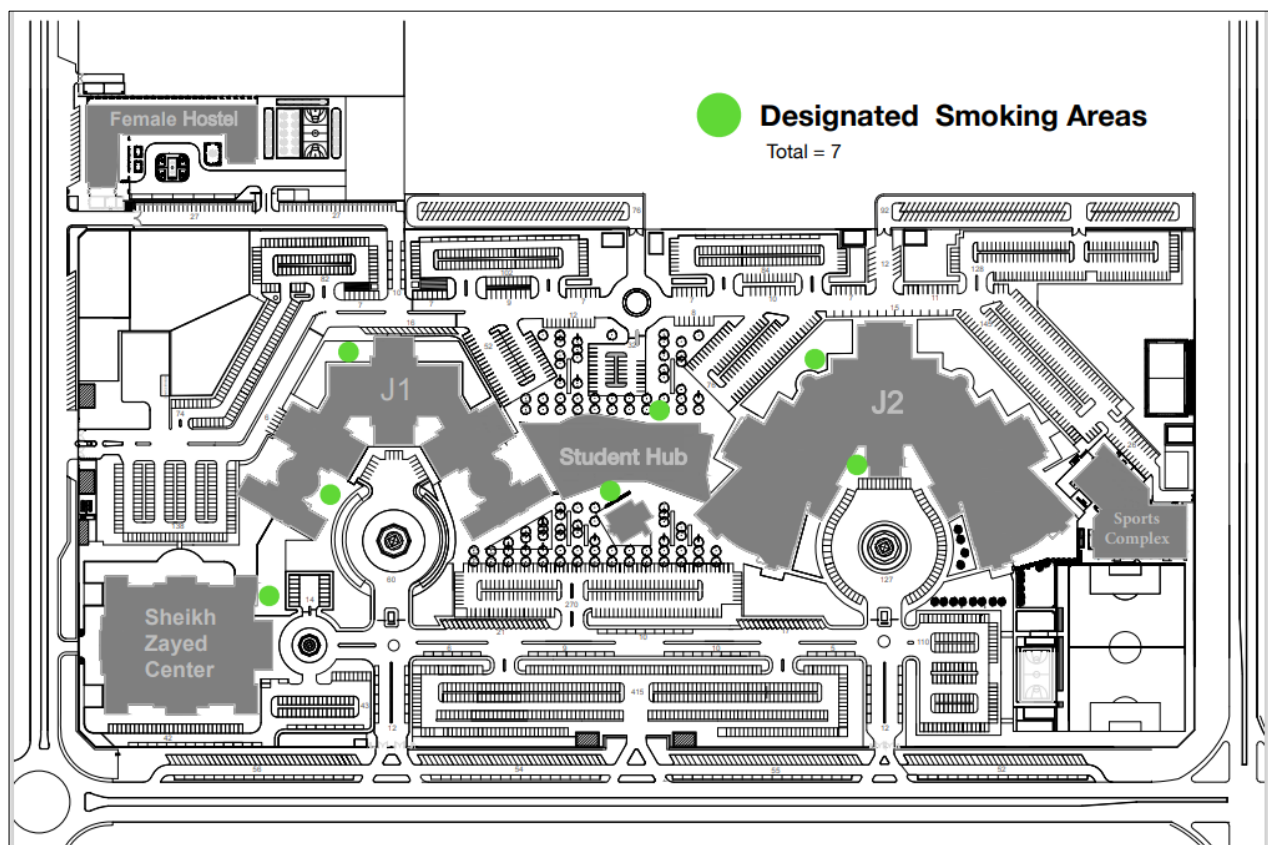
Second time violation

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	30/05/2021	New Policy	EHS Committee/ Chief Operating Officer



Residence Halls Policy

Policy Owner	Students Housing Manager	Responsible Office	Deanship of Student Services
Approved By	Dean of Student services	Effective Date	Mar. 2021
		Next Review Date	Mar. 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 Residences 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 Residences
2. Beneficiary Services
3. Housing Reservations
4. Housing Fees
5. Weekly Use of Student Residences
6. Student Residences services
7. Residence Cards
8. Students Right to Change Rooms
9. Absence and Sleeping outside the Student Residences
10. Student's Relatives
11. Leaving the Student Residences
12. General Instructions for Resident Students
13. Duties of Resident Students
14. Residences Prohibitions
15. Disciplinary System
16. Implementing Penalties.

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 residences.

Internal Housing Administration: Administration responsible for managing the student residences. 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 Residences.

New Students: Students admitted to the University during the current semester. They are also target beneficiaries of the student residences.

Participants: Students, males and females, utilizing the University housing facilities. They are also target beneficiaries of the Student Residences.

University Housing Application Form: Application form filled by students to reserve a room at the residences. 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 Residences.

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 Residences during visiting times.

Policy Statements:

1. Supervision of Student Residences

- The Students Housing Office manages the Student Residences affairs and sets the relevant rules and regulations, according to AU bylaws. The Administration shall keep records of all students residing in the residences.
- The Deanship of Student Services shall be the supervising and regulatory authority responsible for AU Student Residences.

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 residences 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 residences. 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 residences.
- Students lose the right to stay in the residences 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 residences, 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 residences, 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 residences 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 Residences

- 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 Residences Services

AU provides its students with an array of services, including the Student Residences, 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. Residence Cards

- After being admitted, the Admission and Registration Department shall provide residential students with an AU residence 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 residence card are personal and should not be used by others. Students who lose their cards should notify the administration of the residence.

8. Students Right to Change Rooms

- Room assignments are done according to the rules set by the student residences 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 Residences

- Female residential students should submit a written permit from their parents to sleep outside the residences. 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 residences 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 residence 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 Residence

- The housing fees are charged for the whole semester, according to the AU academic calendar. The student residences 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 residence 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 Residence accordingly.
- Students cannot obtain the security deposit until they leave the residence 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 residences 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 residences employees and report complaints to the housing supervisors
- Respect the residences schedule. The doors close at the female residence at 10:30 p.m., while they close at the male residence 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. Residence 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 residences.
- Displaying any posters or photographs, or writing and drawing on walls or furniture, or misusing any housing facilities.
- Bringing children to the student residences.
- 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 residence 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 residences 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.

Related documents

- Rules of occupancy
- Residential procedures

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

AU Policies and Procedures

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



Health Services Policy

Policy Owner	Medical Services Manager	Responsible Office	Office of Medical Services
Approved By	Chief Operating Officer	Effective Date	May 2021
		Next Review Date	May 2024

Introduction

Health care delivery is a complex process. Patients come to us in a time of need; they entrust us with their lives. It is our duty and obligation to meet and exceed their expectations by delivering high quality care that is safe, effective, and timely. We aim at delivering care that will attain the highest level of patient satisfaction and comfort.

Vision

Provide a safe, efficient and timely patient-centered quality care.

Mission

The Office of Medical Services (OMS) is staffed with qualified MOH licensed healthcare workers seek to complement the academic mission of Ajman University and is dedicated to providing educational, supportive, consultative healthcare services to AU community. In doing so, the OMS strive to make the campus a healthy and safe place to study, work and live.

Purpose

- Provide primary healthcare to students, faculty, staff members.
- Provide emergency healthcare to hostel and campus residents after working hours, at weekends and on holidays.
- Support the integration of university services and provide a healthy atmosphere to accomplish the university objective of a disease-free community
- Provide high quality integrated health services in a timely manner to generate complete customer satisfaction
- We provide compassionate care without compromise.
- We support health awareness campaigns.
- We engage in updates to advance knowledge and well-being.

Our Values

- Compassion
- Collaboration
- Responsibility
- Diversity
- Integrity
- Quality
- Trust
- Confidentiality

Statement

The University Medical Clinics seek to complement the academic mission of AU and are dedicated to providing educational, supportive, 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.

- 1) This policy applies exclusively to AU community, and not for the general public.
- 2) The University, as an employer, is committed to providing and maintaining a healthy and safe working environment that promotes wellbeing for all its employees, students and any other people who may be affected by its activities. The ultimate responsibility for ensuring implementation of this Policy lies with the University Office of Medical Services.

The university Office of Medical Services is responsible for ensuring compliance with the University Health Services Policy within their areas of control and are required to report annually on their health and safety action plans. They have a key role in encouraging a positive attitude to health and safety through appropriate management arrangements, In line with the MOH/ MOE and AU EHS office guidelines

All staff and students have a responsibility to promote a healthy and safe working environment to safeguard their own health, that of their colleagues, and are required abiding by rules and requirements made under the authority of this policy.

- 3) This Policy applies to all premises and activities within the control of the University.
- 4) This Policy has the following objectives:
 - to comply with the requirements of relevant legislation and current good practice;
 - to identify significant hazards (the potential for harm), assess risks (the likelihood of that harm being realized) from activities involving those hazards and manage those risks;
 - to Comply with safety and health standards and regulations issued and enforced by:
 - UAE Ministry of Health and Prevention,
 - OSHA*-approved international guidelines (**OSHA***: **O**ccupational **S**afety and **H**ealth **A**dministration, USA) Regarding Personal Safety Guidelines (PPE), First Aids Kits, First Aid Emergencies Standards, Items Sterilization, Workplace and Environment Safety, Occupational Safety and Health Standards, Hazardous Waste Operations among others.
 - to promote a positive attitude to health and wellbeing at the University amongst all staff and students;
 - to ensure that employees, students and others are adequately informed of the relevant identified risks;
 - to ensure that employees, students and others receive appropriate instruction, training and supervision;
 - to ensure that staff and students are competent to deal with the risks they encounter;
 - to consult widely with staff and students and with employees' representatives on health matters;
 - ensure that this documentation and supporting information is made accessible, primarily through the University's web pages and at induction for staff;
 - to make arrangements for co-ordination and co-operation with other employers;
 - to monitor actively the management of risks to health;
 - to review the effectiveness of health risk management and where appropriate to implement improvements;

- 5) Immunization policy for AU Students

All students are required to have a complete immunization record at registration time as per the MOH/ MOE guidelines and requirements.

Any special case regarding immunizations is discussed with the student individually.

Vaccinations are under the policy of Ministry of Health/ Preventive Medicine - UAE.

6) Duties and responsibilities

The Medical Services Administration provides the following primary healthcare, within available capabilities, through its clinics:

- Round-the-clock services for males and females' patients
- General Clinics: Emergency care, primary healthcare, treatment, preventative medicine and health education on common diseases to the University community;
- Nursing: comprehensive nursing care and services, including routine and emergency care, daily recording of patients' details and provided treatment;
- Reception: receiving patients, preparing the patient files and records, recording personal data, preparing daily, monthly and annual statistics;
- Referral System: referring urgent cases to hospital specialists;
- Medical Insurance work for our staff members and their dependents
- Following up chronic cases and coordinating referrals to hospital specialists if necessary;

7) Screening and approving medical checkups for new students submitted by the students.

8) Medical units

The medical units ensure that a healthy environment is maintained in all university premises, and provide students with the following medical services:

- Examination and treatment prescription as appropriate;
- Emergency treatment;
- Medical supervision of sporting and social activities;
- Raising health awareness among AU community
- Organizing seminars on medical issues for the benefit of students;
- First-Aid training;

Services

- On Campus Main Medical Clinics (Female & Male clinics), and a Hostel clinic, to provide primary healthcare treatment and health education on common diseases.
- Nursing: Comprehensive nursing care and services, including routine and emergency cases care, recording patient details and providing treatment.
- Reception: Receiving patients, preparing the patient files and records, recording personal data, preparing daily, monthly and annually statistics.
- Digitalised Referral System and Follow up: Coordinating referrals for urgent cases to hospital specialists if necessary and following up chronic cases.
- Carrying out medical check-ups for all new students by screening for any contagious disease assuring a safe and healthy campus environment.
- Collaborating with community organizations to conduct health programs and awareness raising activities including:
- No Tobacco campaigns, Diabetes, Breast Cancer, updates on any pandemic outbreak Awareness events.
- Supporting students with special needs/disabilities - AU POD students who require assistance in their activities within the campus.
- The AU medical services are free of charge and available round the clock.
- All health records, forms and documentations are confidentially kept.

- The release or transfer of any medical information requires patient's approval, unless legally authorized, or in a life-threatening situation.
- All medical documents/ records/ transactions are fully digitalised.

Medical Excuse approval protocol:

For Students:

"Announcement to New Students" explaining the guidelines to follow when the student uses a medical excuse as a justification for their absence.

This announcement explains that:

- Students who miss lectures or exams for medical reasons have to present / send by email their medical reports to office of medical services (medicalservices@ajman.ac.ae) within 48 hours from the end of their sick leave. It should be the original sick leave.
- The medical certificate is approved by the University doctors' decision and sent back to the student.
- A soft copy of the approved document is saved as a record in the student' digital file.

For Faculty/ Staff:

- Employees who are absent from the duty for medical reasons, need to submit their medical report to office of medical services (medicalservices@ajman.ac.ae) for approval before submitting it to the office of HR.
- All employees benefit from Ajman university health insurance, which allows them to consult in most hospitals, and medical clinics across the country and abroad.

Student Medical Checkup Instruction

As part of the registration requirements of Ajman University, a student medical check-up is mandatory.

1. The Medical check-up form is available in the AU medical clinics, or through the AU website:
<https://www.ajman.ac.ae/en/experience/health-services/medical-check-up-instruction>
https://www.ajman.ac.ae/upload/files/Medical_Checkup_PDF.pdf
2. The medical form should have the **student's registration file number** of the applicant, or the university student's ID e.g. (2020.....)
3. This form should be taken by the student to any of the hospitals mentioned below to be filled in by the doctor there.
4. Once the medical test done the medical report from the hospital needs approval from Ajman University medical office before submitting it back to registration office.
5. **Students living outside the Emirate of Ajman** can hold this medical form to the nearest ministry of health facility of their place (Preventive Medicine) or to any UAE hospital to get this medical test done at their convenience; As well as in the hospitals mentioned below if they want to.
6. They are required to send by email at (medicalservices@ajman.ac.ae) or bring the filled form back to Ajman University office of medical services for approval before submitting it back to registration office.
7. Students residing outside UAE are required to get their medical test done in any hospital across UAE.
8. **No medical test performed outside UAE** will be accepted/approved by Ajman university "Medical or Registration" offices.
9. The Fitness Certificate is part of the student's medical file in AU office of medical services as well as in the office of admission & registration.



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

Information Technology Policy

Policy Owner	IT Manager	Responsible Office	Office of IT
Approved By	Chief Operating Officer	Effective Date	Nov. 2019
		Next Review Date	Jul. 2022

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.

Teaching & Learning Unit

The primary role is to manage and facilitate the implementation of institutional strategy for academic and administrative staff across the University.

The Teaching and Learning section at the Office of IT is working closely with the Vice Chancellor of Academic Affairs (Teaching, Learning and Students), and with Faculties, and other administrative offices.

The main responsibility is to provide support and guidance on how to use AU Applications/systems, including the E-Learning Management System, to AU community, staff and students.

The objectives of the teaching and learning team are the following:

- The technology used in the classrooms and computer labs.
- Tools to enhance the communication between the faculty and students.
- E-Learning Management System, including training to faculty members on how to use it.
- E-Assessment which includes the following assessment activates each semester:
 - Advisor
 - Course
 - University's service.
 - And;
 - IT Orientation documents for AU's members, students and staff, on all AU's services and Applications, and how to access/use them.

This section is responsible of the following:

- Create, update and maintain the IT orientation manuals for AU staff and students.
- Give individual and group training sessions.
- Organize training session with the Office of HR for faculty members on the newly introduced technology.

Information Technology Services

- a. IT Account Services
- b. Helpdesk and Support
- c. Campus LAN/WAN Network.
- d. Video Conferencing.
- e. Software and Applications.
- f. Internet
- g. Teaching and Learning.
- h. IT Security, Compliance and Governance.

Terms and Conditions of using I.T. services

- Office of I.T considers all temporary and permanent connections via the University network, to be subject to the provisions of this policy.
- Computing resources not owned or approved by AU may not be connected to the University's network.
- Office I.T. currently maintains a variety of UNIX, Win 2012 servers and above. MS Windows systems exist to facilitate software distribution and printing for office and student lab environments.
- Office of I.T. has the right to monitor the traffic of all transmissions on networks maintained by the offices at all times.
- Operating systems currently supported (for the desktop) include Windows 8 and Windows 10. There are special requirements for Unix workstations in the School of Engineering. Upgrading will take place in a controlled manner.
- Software and hardware to be installed should be requested by the Dean or Manager/Director of Office and it may not be installed or connected to University systems without the approval of the IT Committee. This includes the data and telephone networks.
- All University affiliates (faculty, staff & 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 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

The University aims to provide higher education of a quality and kind that will enhance the capabilities, potential and intellectual independence of its students, on a life-long basis. The University's continued commitment to respect, preserve and enhance knowledge, skills and competencies, through a student-centered teaching and learning approach demonstrated through integrity and quality in the delivery of quality learning content, an applied research supervision and assessment of student learning outcomes in both the undergraduate and graduate programs.

The University has a number of policies and procedures that govern teaching and learning practice:

- All users of the learning and teaching tools and resources must adhere to the University's Appropriate Use of Campus LAN/WAN Network policy, and IT Security, Governance and Compliances Policies mentioned in this document.
- Delivery and access to copyright materials of teaching and learning, including the Learning Management System (Moodle) and orientation documents, must adhere to guidelines in compliance with Copyright Law in effect in the United Arab Emirates. In addition, all other copyright use must comply with University Policy.
- Ajman University is not responsible for the misuse, accuracy, integrity, and/or legality of the content uploaded to the LMS by its students, staff, or faculty. The University is not responsible for content linked to LMS to external web sites.
- No users of the LMS must use the system for purposes other than teaching learning activities approved by the official university bodies. Only sponsored agencies connected to the University including accrediting agency representatives, presenters, and course observers may be granted access to Moodle with approval from the appropriate channels including academic Chairs and Deans or other University Executives including the Vice Chancellor for Academic Affairs or the Chancellor. The Information Technology Office staff should notify the course owner when any external agent is added to the system.
- Access to the LMS is granted to currently enrolled students, instructors and academic administrators on record for published term courses. Course rosters are generated via official enrollments in Student Information System (SIS). Course owners and administrators should not grant course access to students not listed in the official roster using student email addresses.
- Faculty and staff hosting a course on Moodle shall comply with all the UAE laws and all institutional rules, policies, and procedures in force.
- Illegal content or content that is in violation of the University's policies or contractual agreements shall be removed from a course account, when requested by the instructor of record or other appropriate academic administrator whose duty is to monitor the content continuously.

User Management and Access to LMS

- All users of LMS must access the system through a designated account, which is provided by the AU IT Office, and is the same as the user's University User Account (network username and password).
- The instructor(s) of record (IOR) and students enrolled in a course as listed in SIS will have access to the course site in the LMS.



- Official student enrollments will be managed from SIS including adding new students, student withdrawals, and drops.
- For purposes of program curriculum management and continuous quality control, College Dean and Head of Department may request course access from AU IT Office and will be granted access to courses to review and perform assessment activity including, but not limited to, viewing learning outcomes, course analytics, and usage.
- Faculty may not create courses/sections on behalf of external users and former students and extend system access to said users for the purposes of pursuing activity unrelated to official University business. Any such accounts discovered will be removed by the IT staff.
- Access to the LMS may be disabled or suspended for users who display inappropriate behavior per the University's Acceptable Use Policy and other guiding policies that define appropriate conduct for University employees and students. Students who misuse the LMS will be referred to the Student Affairs Disciplinary Committee.

f. IT Security, Compliance and Governance

Security:

To increase the level of security at AU Account (Network and email) and AU System, and minimize the level of attacks of viruses, worms, Trojans and hackers.

Virus Protection:

Viruses and other malware are a constant threat to all computer users. They can be picked up in many different ways. Therefore, the Office of IT applied the below group policy on all AU users and PCs:

- Installed Antivirus and antimalware in all AU's PCs.
- Set policy to push the updates in regular bases.
- Limited the Admin privilege to the Technical team who are responsible of installing software and applications.

Password Policy:

The Office of IT have implemented the following security measures on passwords:

– Applied Settings for Network Password Policy:

- Maximum Password Age is 60 days (meaning that user have to change the domain password every 60 days)
- Minimum Password Length is 8 characters

– Applied Password Policy on Desktop:

Enable Password Screen saver option after 10 minutes of idle session. This option would force the user if he/she did not use the computer for 10 minutes to re-enter the password. In case another user comes to use the computer, he/she should restart the computer and login with his/her network account.

– Account lockout policy:

Account lockout policy disables a user's account if an incorrect password is entered for a particular number of times over a specified period. These policy settings help us to prevent attackers from guessing users' passwords, and they decrease the likelihood of successful attacks on our network.

- Account Lockout Duration: 60 minutes
- Account Lockout Threshold: 50 invalid logon attempts

- Reset account lockout counter after: 30 Minutes.

Compliance and Governance:

The Office of Information Technology (IT) is neither an investigative nor a disciplinary entity in its primary responsibilities. However, in cases where University resources and privileges are abused or otherwise threatened, the office may be asked to take appropriate steps. Immediate revocation of access and subsequent prosecution by the authorities, for example, might be directed. Such revocation may be appealed to the IT committee.

Another example would be to both discipline and hold accountable an individual who damages IT resources. Improper access or modification of AU information in a computer system may also bring a stiff penalty.

Prohibited acts include but are not limited to the following:

- Threats to the security of information and the integrity of networks at AU and elsewhere include viruses, hackers, and unauthorized persons. Consequently, it is the responsibility of the user not to disclose his/her password to any person.
- It is prohibited to connect any personal computer, server, printer, firewall, network router, network switch, or other electronic device to the AU data network without the express approval of the IT & 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:

87. The IT infrastructure at AU is built on Microsoft Technology; therefore, the standard platform and operating systems are as follows:

- Platform:

88. 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):

89. 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.

90.

4. Damages/Replacement before the device's standard life cycle:

91.

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.

92.

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.

93.

- 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.

94.

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 22:00	Data Domain
SIS	SQL DB Backup (Full)	Daily at 20:00	Data Domain
Dynamics-AX	SQL DB Backup (Full)	Daily at 20:00	Data Domain
HR-net	SQL DB Backup (Full)	Daily at 20:00	Data Domain
OAS/ ORS	App Data Full	Twice a week (Mon, Fri 20.00)	Data Domain
Library System	SQL DB Backup (Full)	Daily at 20:00	Data Domain

	App Data Full	Twice a week Tues, Sat 22:00	Data Domain
DC Servers	Full Backup	Twice a week Mon, Fri 02:00	Data Domain
Windows Servers	Full Backup	Twice a week Mon, Fri 2:00	Data Domain
Archiving System.	SQL DB Backup (Full)	Daily At 20:00	Data Domain
	App Data Full	Twice a week Mon, Fri 2:00	Data Domain
University Website	Full backup	Twice a week Mon, Fri 20:00	Data Domain
E-Learning System	Full backup	Weekly Thursday 22:00	Data Domain

Backups will be written to Data Domain Appliance and stored in the Data Center.

Daily backups will be maintained for 30 days

Weekly backups will be maintained for a period of three Months.

Weekly backups of the systems mentioned blow will be transferred to an off-campus location and replaced, 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 for the E-Learning system are done by outsource to Renaissance Infotech Company as it takes care of the support.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	University Central Committee
V 2.0	14/07/2013	New Policy with new regulation and guidelines to cover AU systems and services	IT Manager
V 2.1	03/10/2017	Minor review to back-up, maintenance, internet usage	IT Manager
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	IT Manager

8. Learning Resource Center



جامعة عجمان
AJMAN UNIVERSITY

Library Policy

Policy Owner	Library Manager	Responsible Office	Library
Approved By	Vice Chancellor for Academic Affairs	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)	
Time	From	To	From	To.
Sunday	07:30	20:00	07:30	20:00
Monday	07:30	20:00	07:30	20:00
Tuesday	07:30	20:00	07:30	20:00
Wednesday	07:30	20:00	07:30	20:00
Thursday	07:30	20:00	07:30	20:00

During exams period and upon users request AU libraries are open on weekends according to the following timetable:

Day	Library 1 (Men)		Library 2 (Women)	
Time	From	To	From	To.
Friday	15:00	21:00	15:00	21:00
Saturday	09:00	15:00	09:00	15:00

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Council of Research, Information and Training
V 2.0	19/03/2017	New Policy - Total modification of policy structure and content	Library Manager
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	Chief Operating Officer	Effective Date	Jul. 2017
		Next Review Date	May. 2020

Purpose

The Primary purpose of the Financial Policy is to establish financial rules and procedures guidelines for the University community and set financial standards, to enable efficient management of all financial and physical resources to serve accomplish the University's mission. This policy applies to the whole University community.

Statement

This policy serves as a guideline pertaining to proper recognition of revenues and expenditures, making sure that all transactions complying with financial accounting standards, leading to highest accuracy levels of income measurement, proper evaluation of financial assets and liabilities, as well as maintaining an efficient internal control system.

Revenues

Tuition and registration fees of the University are recognized based on the year of semesters and on the date of registration. Tuition fees received in advance during the previous year are recorded as income in the current year (accrual basis). Tuition fees received in advance are refunded to students who withdraw from the University during the semesters in accordance with the University's internal policies.

Tuition fees in all the colleges and programs are determined in accordance with the credit hours system.

Receipting and Deposits

- All monies (cash and cheques) received by cashiers are to be deposited by next working day into the University's bank account. Such deposits must be accompanied with a bank deposit slip.
- Each cashier detailing the receipt vouchers issued during the day, including amounts, types of collection, and other relevant details, and finally submitted to the Main Cashier, prepares a Daily Cash Receipt Report.
- The main cashier will prepare a bank deposit slip in duplicate copies by the end of the day. The relevant particulars will be recorded on the bank deposit slip.
- The bank account in which the cash is to be deposited will be ascertained prior to allotting the account codes to the bank receipt voucher.
- The cash will then be taken to the bank through Money Transport Company along with both copies of the bank deposit slip.
- The bank will retain the original and will return the duplicate duly acknowledged which will be attached to the related Journal Voucher (prepared the same day).

- The Accounts Department will reconcile the total amount of cash deposited into the bank with the total of the receipts for the day to ensure prompt banking.
- The deposit should be prepared by a person other than the person collecting the cash.
- A person (other than the person preparing the deposit) should review the deposit and agree the official University cash receipt to the deposit back-up documents.
- Bank Statements should be reconciled with the University's statements to ensure all transactions are accounted properly.

Expenditures

a. Overview

For simplicity of presentation and to facilitate easier understanding of the accounting procedures connected with expenses and purchases to be followed, this has been divided into three main categories:

- Expenses for which payments are made in advance (prepaid expenses), such as rent, that will be recognized later.
- Expenses, which are recognized periodically, such as payroll, utilities, and professional/audit fees.
- Other expenses, which are recognized and paid when invoices are received, such as Printing, Stationery, Travel and Transportation expenses.

All expenses of any of the above-mentioned expense types shall be initially approved by the budget section prior to commitment with any external party on future payments, either through issuance of LPO or entering into contract. Approval or rejection of the requisitions submitted to the budget section shall be based on the annual approved budget limits of the concerned office/college.

b. Prepaid Expenses

The Accounts Department will receive the supporting documents pertaining to prepaid expenses such as: Tenancy contract, Agreements, and Requests for payments, after being approved by Budget Unit.

A bank payment voucher will be prepared based on these documents, which will be sent to the Accounts Manager for approval. The agreements and contracts will be maintained in a permanent file in the Accounts Department.

Based on the approved voucher, the Accounts Department will update the Prepaid Expenses Register that will include the payee name, nature of payment, amount prepaid and period of payment.

At the end of each month, a journal voucher will be prepared to pass entries for charging that month with the relevant amount of each item of prepaid expense. The amount to be charged will normally be the proportionate amount determined by spreading the charge equally over the months covered by the contract.

The Accounts Department will periodically review the adequacy of the monthly absorption of prepaid expenses. If the charge is found to be incorrect, suitable amendments will be made to the basis of quantifying the amount for future absorption.

c. Accrued Expenses

The Accounts Department will accrue for the value of all expenses for which the benefit has passed to the University but the invoices from the supplier/party has not been received by the end of the month.

Examples of such expenditures for which accrual entries shall be passed include printing and stationery materials, standard fixed utility expenses like electricity, water and telephone, payroll, end-of-service benefits and auditing fees.

The accrual entry shall be passed through journal voucher. The basis of quantifying these expenses will be either the past expenditure or estimates from previous invoices.

The Accounts Department will prepare a schedule of accruals, which will be sent to the Finance Manager for approval. After obtaining the Finance Manager's approval and incorporating any changes, a journal voucher will be raised and posted to record the accruals.

At the beginning of the next accounting period, the accrual entry will be reversed upon receiving the invoices/supporting documents, and properly accounted for the concerned supplier/ party throughout creation of a credit note to be attached to the documents then filed serially.

d. Other Expenses

- Expenses will be requisitioned through an Expense Requisition Form. This form will be completed by any staff member and signed by the Office Manager/College Dean. The form will indicate the items/service required and justification for the proposed expenditure.
- The form will be first passed to the Budget Unit for approval according to the available budget limit, and if approved it will be passed to the Office of Procurement for execution. As a final approval authority prior to issuance of an LPO by the Office of Procurement, the Finance Manager who will review it and ask for further clarifications and/or justifications regarding the expenditure shall further approve the requisition. The Finance Manager's final decision will result in any of the following situations:
 - **For proposed expenditure below AED500:**
 - The expenditure request is approved with no advance;
 - The expenditure request is approved with an advance; Or
 - The expenditure request is rejected.
 - **For proposed expenditure above AED500:**
 - The expenditure request is approved, Or
 - The expenditure request is rejected.
- One of the main criteria for sanctioning or rejecting proposed expenditures is the non-availability of budgeted funds. If the available budget limit is insufficient, the Budget Unit will reject the proposed expenditure prior to being received by the Stores (if available in stores) or the Office of Procurement (if not available in stores and needs to be purchased). In case the requisition is of high necessity and critical for running the operations, it should be approved by, higher management authorities based on recommendation from the Budget Committee then it can be processed.

e. Rejected Expenditures

The Finance Manager (after considering the Budget Section's feedback) will indicate his/her reasons for rejecting the request for the proposed expenditure. Expenditures that have not been approved will be considered at either a later date or the following period when budgeted funds are available.

Petty Cash

- A petty cash float, as approved by the Finance Manager will be maintained on an imprest basis to be used for direct purchases or for routine and repetitive payments. The payments should not exceed AED 1,000 per invoice unless approved by the appropriate authority.
- The issue of float will be recorded through a bank payment voucher. The balance will be transferred to the petty cash holder's prepaid card.
- The petty cash holder will prepare a Petty Cash Purchase Requisition based on relevant supporting documents (invoices).
- The PCPR together with the relevant supporting documents will be forwarded to the Budget Unit for approval, next to the Office of Procurement for approval and then to the Accounts Department for approval and processing.
- The approved PCPR with its supports will be considered for preparation of payment to the petty cash holder's prepaid card. The PCPR and the supports will be validated by an Accounts Payable supervisor, and then be posted to relevant accounts.
- The PCPR will be attached to the journal voucher generated by the Accounts Payable Supervisor for the petty cash expenses along with the invoices and the supporting documents.
- Reimbursement of imprest petty cash will be made through a Bank Payment Voucher (BPV) raised by the Accounts Department to the petty cash holder's prepaid card.

Bank Payments

- Payments over AED 500 will be made by cheque.
- The specific procedures relating to invoice processing and payment to creditors for expenses and goods/services are described in the "Expenses" section.
- The specific procedures relating to disbursement of salary and other employee related expenses are described under the "Payroll" section.
- The specific procedures relating to transfer-out to other bank accounts are described under "Transfers Between Bank Accounts".
- The Accounts Department will prepare a Bank Payment Voucher (BPV) based on the relevant invoice or supporting documents.
- The BPV together with the relevant supporting documents will be checked to ensure that:
 - The invoice and supporting documents have been approved;
 - Payment is being made to the right beneficiary for the correct amount;
 - The account codes are correct.
- The Accounts Department will prepare a cheque based on the approved BPV in favor of the beneficiary for the requisite amount. The cheque and BPV details will be sent to the cheque signatories.
- The cheque will be handed over for delivery to the beneficiary directly after obtaining his signature (confirmation of receiving the Cheque) either on the Cheque Payment Voucher or through the courier.
- Based on the BPV and issued Cheque, the voucher will be posted and an automated accounting entry is affected to related accounts.

- The Cheque Payment Voucher (CPV) will be filed serially along with the supporting documents. Where a CPV is cancelled for any reason, it will be marked "Cancelled". In the related accounts, the word "Cancelled" will be entered against the transactions.

Bank Reconciliation Statements

Bank reconciliation statements to be prepared every month by the preparer, are to be checked, signed by the Chief Accountant and approved by the Finance Manager. Any long outstanding or non-moving balances are to be brought to management's attention.

The following are the steps in its preparation:

- The outstanding balances in the previous month's reconciliation to be cleared, if any balance is not cleared it need to be enquired and reported to the chief accountant for further action.
- All transactions of current month to be agreed between the books and bank statement.
- The reconciling items to be listed and the statement of reconciliation to be prepared.
- Any non-receipt of statements should be followed up and properly documented.
- Delay or no response cases should be reported to management for further action.
- Separate file to be maintained for each bank.
- Statements should be obtained by at least the 10th of the subsequent month or where possible online.
- Once the reconciliation statement is prepared it should be checked and approved by the Chief Accountant.

Accounting Reports

The Accounting System Manual deals with various reports and registers to be prepared and their purpose and distribution. Generally, they are grouped as Accounting Reports/Registers.

The following reports should be prepared:

1. Monthly Trial Balance

- The Trial Balance summarizes and prints the total movements in each General Ledger Account during the month. The General Ledger Accounts are segregated into the following categories on the trial balance:
 - Revenues
 - Expenses
 - Assets
 - Liabilities
 - Capital
- The Chief Accountant will review the trial balance for any unusual movements, investigate any such items, and make corrections, if necessary, by way of Journal Entries.
- Having carried out his review and having satisfied him/herself as to the accuracy of the figures reported on the trial balance, the Chief Accountant should sign the trial balance. The trial balance will then be submitted to the Finance Manager for approval.

2. Quarterly Financial Statements

- The most important reports to be generated each quarter are the Quarterly final statements. These comprise of the following:
 - Balance Sheet.
 - Income Statement.
- After checking the trial balance, the Chief Accountant will prepare the Quarterly Balance Sheet and Profit and Loss Statement.
- After preparing the financial statements, the Chief Accountant will check the figures with the trial balance and then submit it to the Finance Manager for review.
- The Finance Manager will then review the Balance Sheet and Profit and Loss Account and make any necessary comments.
- Then the Finance Manager will sign off on the Balance Sheet and Profit and Loss Account and forward them to the COO.

3. Debtors and Creditors Age Analysis Reports

- Debtors Age Analysis Report

This report is one of the crucial reports for control of debtors. In this report, the balance in any Debtor's Account is analyzed by aging the balances into various categories i.e. 1-30 days, 30-60 days, 60-90 days, over 90 days.

4. Creditors Age Analysis Report

It is always necessary to keep track of the payables and settle their dues to the creditors on time. It will improve the trade relations and the market credibility or reputation. Hence, this report is generated at the end of every month to identify the dues payable and to help mobilize funds as per the credit terms. It also helps in cash budgeting and projecting cash flows.

5. Accounting Register

Other accounting registers which are important like: Inventory ledger, Property, plant and equipment register.

Distribution of financial reports

Financial reports are distributed quarterly to the following official:

- Chief Operating Officer (COO),
- College Deans to show the profitability of their operations,

External bodies as per the requirements of the relevant regulations and bodies.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Vice President for Administrative and Financial Affairs
V 1.1	20/09/2012	Policy reread - no changes	Financial Controller
V 1.2	16/07/2017	Minor changes – Petty cash, approvals	Chief Operating Officer

Cash Management Policy

Policy Owner	Finance Manager	Responsible Office	Office of Finance
Approved By	Chief Operating Officer	Effective Date	Jul. 2017
		Next Review Date	May. 2020

Purpose

The policy serves as a guideline towards safeguarding AU's cash resources, and it details the flow of cash resources, in terms of receiving cash from students, acceptable currencies, PDC's conditions, remittances through banks, and regular deposit of available balances into bank accounts.

Statement

A set of policies and procedures controls the process of collecting cash and depositing into bank accounts, in a way that reduces the risks involved, avoids accumulated excess (idle) cash balances, and increases AU's ability to use its own cash resources in meeting daily spending requirements as well as decreases bank borrowings to the minimum levels.

Accepted Currencies

- GCC currencies.
- United States of America Dollar (USD)

Foreign Currency Exchange Rates

The Office of Finance will define the fixed exchange rate for each currency and display the rates on the screens. Rates are defined as per the market.

Collections from Students/Clients

- The following types of payments are accepted by the University:
 - Cash Payments (in currencies mentioned in point no.1 above).
 - Current Dated Cheque Payments.
 - Post-Dated Cheques Payments.
 - Credit Card Payments.
 - Wire transfers/Direct Bank Deposits.

- Payments by cheques should be in local currency and a cheque withdrawn on a local bank.
- Payments by PDC should comply with AU internal policy.
- Payment received through Wire Transfers/Direct Deposits will be credited to beneficiary account after checking the bank statement to insure receiving the same to our bank.

Daily Collections

- Payments received by AU will be entered to the beneficiary account on the spot and an official (system) receipt voucher will be printed for the payee.
- Each collector (Teller) has a separate custody, which contains all payments received by him/her during the day and still not dispatched to the Main Cashier.
- End of day; Teller should count physical amounts in his/her custody, tally the amount with custody report total and then to deliver his collections to the Main Cashier.

Bank Remittance

Daily collections will be consolidated and delivered to the bank next working day.

Secure Holding of Receipts Prior to Deposit

Any cash or cheques not deposited should be kept in a locked, fireproof safe, cabinet or lock box. The access to the above should be restricted. Post-dated cheques should be treated in the same manner and cashed on the cheques date.

- Cash should be kept in a safe and properly protected place.
- All cash receipts must be deposited into the bank the following day. Collections from the imprest cash should be segregated.
- All cash collected will be kept in a safe with two keys, one of which will be with the Cashier and the other with the Finance Manager. A duplicate set of the keys should be kept in the safe custody of the Finance Manager.
- Cash in the safe and in transit should be insured against theft and fire. A Fidelity Insurance Cover for the accountant responsible should also be taken out.
- At the end of the day and/or during the absence of the accountant, who maintains the cash balance, the safe should be locked

Regular depositing of Receipts within Approved Time Frames

- All receipts (cheques/cash) should be deposited daily into a designated bank account.
- The accounts department will prepare a bank deposit slip in duplicate at the end of the day or during the day. The relevant particulars will be recorded on the bank deposit slip.
- The bank account in which the cash is to be deposited will be ascertained prior to allotting the account codes to the bank receipt voucher.
- The cash will then be taken to the bank along with both copies of the bank deposit slip. The bank will retain the original and will return the duplicate duly acknowledged which will be attached to the related Bank Receipt Voucher (BRV).
- The accounts department will reconcile the total amount of the cash deposited into the bank with the total of the receipts for the day to ensure prompt banking.



Reconciliation of Receipts and Deposits

- At the end of each month, a Monthly Cash Tally Sheet will be prepared after reconciling the physical cash with the balance as per the general ledger.
- The accountant should also tally the physical cash balance with the balance as per the general ledger after ensuring that the receipt vouchers, petty cash vouchers and outstanding temporary advance slips for the month have been settled.
- In the event of any shortage/excess noted on verification, the discrepancy should be looked into. If the amount is to be recovered from the accountant concerned, he should reimburse the shortage promptly. If prompt reimbursement is not possible, the shortage should be debited to his personal account and should be recovered from his salary or other amounts due to him.
- The total of all receipts will be checked to the subsequent day's bank deposit slip. The account codes and supporting documentation will be checked prior to posting into the system. The accountant will check the transaction journal the following day to ensure that the account codes have been correctly entered in the system.
- All cancelled copies of Cash Receipt Vouchers (CRVs) will carry the "cancelled" stamp and missing sequence numbers will be investigated.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Vice President for Administrative and Financial Affairs
V 1.1	20/09/2012	Policy revisited - no changes	Financial Controller
V 1.2	16/07/2017	Policy revisited - no changes	Chief Operating Officer

Procurement and Inventory Control Policy

Policy Owner	Procurement Manager	Responsible Office	Office of Procurement
Approved By	Chief Operating Officer	Effective Date	Feb. 2017
		Next Review Date	Jun. 2020

Introduction

This manual has been issued pursuant to Decision (5) for the year 2016 on purchases, tenders, auctions and warehouses. The provisions of this manual shall apply to the University of Ajman's contracts pertaining to the procurement of goods, construction, works, maintenance, transport, rental of equipment, technical programs and materials, as well as the various forms of services.

The manual covers all the activities of the University's Procurement and Warehouses Office, define the role of the Procurement Committee and guide the process of developing and formulating the rules and regulations that govern all aspects of the procurement processes at the University. It further sets the framework according to which procurement processes are conducted - from developing a procurement plan through to making the required purchases, with a view to securing all the procurements in a timely manner, appropriate quantities and at adequate prices.

Definitions

Wherever they appear in this manual, the following words and phrases shall have the following denotations unless the context indicates otherwise:

1. Procurement and Warehouses Office: The organizational unit that carries out the tasks relating to procurement and warehouses.
2. Delegation of Authority Guide: The set of rules and regulations that govern the delegation of authority regarding financial and non-financial matters or equivalent.
3. Policies: The rules and provisions provided for in this manual, which are in line with the University's Strategic Plan.
4. Methods: The rules or principles relating to a specific activity that distinguishes it from other activities, as well as the means and technologies in place that could be used to facilitate work.
5. Procedures: The instructions and detailed steps, which must be followed in implementing the contracts.
6. Supplier: The external party, which supplies the university with the various types of materials that the university needs.
7. Contractor: The natural person or legal person who provides all the services needed by the university or carries out works for the university, including the materials deemed as part of the scope of work.
8. Contract: A legal document, which establishes a mutually binding relationship between the university and a supplier or a contractor regarding the provision of services or execution of works or the supply of materials and goods.
9. Contract Value: The original value of the contract added to it the value of all variation orders, if any.



10. Variation order: Any change order relating to any paragraph or article or provision or condition provided for in the contract issued by the Procurement Office or a legally competent entity authorized thereof.
11. Purchase Order: An agreement between the university and a supplier to deliver goods, materials or services that explicitly provides for a specified financial limit and time framework issued directly by the Procurement Office.
12. Price Agreement: A specific formula for concluding contracts with suppliers to procure and deliver materials or services over a specified period of time with a view to facilitating the procurement procedures.
13. Direct Order Purchase: A method of purchase under which the contractual process is conducted by directly approaching a single supplier or contractor without a need for contacting various suppliers to request quotations; such a method is dependent on the Procurement Office's knowledge of the market circumstances, with the end result of obtaining the best prices.
14. Practice Purchase: The method of procurement under which the process of procuring materials and services is conducted by requesting quotations from registered and approved suppliers via fax, electronic means or sealed envelopes. Following a screening process, the most technically viable and financially cost-effective quote shall be selected, with full observance of the university's best interest and the achievement of value for money for it. However, in doing so, the selection of suppliers shall be based on clear-cut criteria that are consistent with this manual.
15. Procurement through competitive bidding: The method of procurement under which the process of procuring goods and services that the value of which exceeds AED 250,000 (two hundred and fifty thousand dirhams) as per certain specifications. It involves inviting offers electronically or in sealed envelopes from various suppliers. The envelopes are opened by the Procurement Committee and the supplier who offers the best bid technically and financially is selected, with due care given to the requirements of the requisitioning unit. There are two types of competitive bidding - public tender and restricted tender.
16. Public Tender: The tender notice is advertised on newspapers, magazines and other media outlets to give an opportunity to all interested suppliers to submit their bids to deliver the required goods as per the terms and conditions laid down by the Procurement Office.
17. Restricted Tendering: A specified number of registered suppliers and contractors pre-selected by the Procurement Office are invited to bid for the supply of the required goods as per the terms and conditions laid down by the Procurement Office.
18. Request for Quotations: A written request or invitation (unless impracticable), sent to registered suppliers and contractors to obtain price quotations from them to purchase goods with certain known and standard specifications, or to provide services or execute works whereby the price constitutes the principle factor on the basis of which the offer is accepted and the purchase order is issued and the contract or price agreement are concluded.
19. Invitation to Bid: A written request/invitation advertised on newspapers, magazines, Ajman University portal and other media outlets (in the cases of public tendering) or sent directly to a number of preselected suppliers or contractors (in the cases of restricted tendering) asking them to submit itemized quotations to purchase specified goods, provide services or execute works.
20. Price Quotation/Bid: A document issued by the supplier or contractor upon request from the University to submit a price quotation or an invitation to bid issued by the university. The document shall contain the specifications of goods, services and works submitted by the supplier or contractor, including the prices and conditions of sale, delivery and payment.

21. Task Order: An order issued for the performance of specific services. It is used to obtain some simple services and do non-recurrent jobs. Payment for these orders is effected once the task is completed.
22. Bidders List: The list of suppliers and contractors.
23. Single Source: An exclusive agent or sole distributor of a commodity or service, which is not available by any other supplier as, proved by the experience of the Procurement Office thereof.
24. Bid Bond: A bank guarantee submitted along with the price quotations to assure serious participation in the tender.
25. Advance Payment Bond: A bank guarantee offered to the supplier if he asks for an advance payment before supplying materials or starting the execution of works.
26. Performance Bond: A bank guarantee provided by the contractor as a guarantee of good performance of the contract and its implementation in accordance with its terms and conditions.
27. Auction: A method of selling or letting fixed assets, equipment, and damaged or depreciated materials and other similar items by means of bids submitted in sealed envelopes or public offers made in an auction.
28. Warehouse: The place designated for keeping the items classified as "Stock Items" and "Disposal Items". A main central warehouse may be established along with other minor warehouses, if need be, which are supplied from the main warehouse. Minor warehouses, though, may receive purchased materials directly. However, all purchases shall be carried out by the authorized bodies and in accordance with the applicable regulations.
29. Storekeeper: The officer who manages and supervises the warehouses or the administrative unit in charge of supervising it. His responsibilities include organizing the items cycle regarding receipt, inspection, stocking, issuing, returning and relocating. He shall carry out the activities of this cycle and control it.
30. Stock Items: Items which are classified as "stock items" as per the provisions of this manual. They are kept in warehouses until the need arise for them in future. Stock items are purchased upon the request of the storekeeper as per the approved procedures.
31. Disposal Items: They are the equipment, damaged or depreciated materials that are identified for sale in an auction or any other method following the approval of the Inspection Committee.
32. Immediate Consumption Items: All items that are not classified as "Stock Items". Their value is not included in the warehouses accounts books. They are received from the supplier by the storehouses' staff and delivered to the requisitioning unit at the university.
33. Warehouses Inventory: The quantity and value of all the materials kept in stock. The inventory increases in quantity and value as a result of stock items purchases, returned items or items relocated from other warehouses. The inventory decreases in quantity and value as a result of stock items being issued for consumption or items returned to suppliers or relocated to other warehouses.

Scope of Application of the Manual

1. The provisions of this manual shall apply to all the purchases made by the university faculties and its various administrative departments. None of these entities shall be exempted from the application of the provisions of this manual.
2. This manual covers the contracts, methods and procedures applicable to purchases, receipt of materials, services contracts and works execution contracts whatever they might be.
3. The provisions of this manual shall not apply to the following:

- a. The overhead expenses, which are a form of expenditure which does not have a specific technical description (a scope of work). They include the cost of water, electricity, telephone lines, newspapers' and general magazines' subscriptions, subscriptions with professional and non-professional entities; conferences and exhibitions subscription fees, consultancy services, academic accreditation expenses and sundry expenses, as well as other similar general administrative costs which are not subject to standard specifications.
 - b. The contracts and agreements between the university and government bodies.
4. The following provisions shall apply to insurance contracts:
- a. The insurance contracts for the university's assets against fire, damage, theft and other risks shall be subject to the provisions of this manual.
 - b. Regarding the insurance contracts for works and services during the period of execution and maintenance against risks of fire, damage, theft and other risks, the suppliers and contractors dealing with university shall comply with the contractual terms and conditions which are consistent with the provisions of this manual.

Financial terms

Allocated Budget

The following rules shall be observed:

1. No contracts shall be concluded to procure materials, services or projects unless they have approved funds specifically allocated to them as part of the University's general budget. In the case of contracts extending beyond the fiscal year in which those contracts are entered into, necessary measures shall be taken to allocate funds for them in the following fiscal year.
2. Should the value of required works surpass the funds allocated for a college or a department, the matter shall be put before the budget committee as appropriate.

Approval Authority Limit for Purchase Orders and Purchase Requests

*** Purchase orders and requests shall be authorized as per the following:**

Amount (in Dirhams)		Designee authorized to approve purchase order and request
From	To	
1,000,001	No upper ceiling	Procurement Committee* and Vice-Chancellor
100,001	1,000,000	Procurement Committee*
1,001	100,000	Procurement Manager
(*) Recommendations and minutes of meetings of the Procurement Committee shall be approved by the University's Operations Manager		

Forms of Contracts and Orders

1. With the exception of construction contracts, all forms of contracts, supply of services and goods contracts, materials supply agreements, purchase orders, works contracts, materials requisition

forms, invitation to bid letters and receipt of offers documents shall be standard-form documents pre-prepared by the Procurement and Warehouses Office.

2. Any exemptions from the approved standard contractual terms and conditions shall only be made with the approval of the Procurement Committee and that shall be at the most minimal level.
3. Contractual terms and conditions and standard criteria shall protect the interests of the University, provided that they are realistic, balanced and observant of the relevant laws.
4. Contractual prices and conditions provided for in the services contracts, price agreements and purchase orders shall be adhered to; prices shall be fixed and itemized whenever possible; the pricing policy may be based on the cost, with a specified profit margin added provided that it is at a most minimal level.
5. In coordination with the requisitioner, the Procurement Office shall select the appropriate services contract form taking the following into account:
 - Realistic estimation of the contract value and its term
 - Competitiveness
 - Performance risks
 - Level of complexity of the required works
 - Adequacy and completeness of the listed specifications and the scope of work
 - Possibility of variations
 - Past experience
 - Urgent and pressing requirements

Price Agreement

1. The University's Procurement Committee is the designee authorized to identify the commodities and services for which a price agreement is to be issued.
2. Suppliers who are qualified to enter into price agreements using any appropriate purchase method shall be selected. The selected suppliers shall then be approved by the Procurement Committee.
3. Price agreements shall be issued in accordance with the Procurement Committee's requirements and they shall be subject to review (amendment, renewal or revocation).
4. Price agreements concluded with suppliers shall include specifications of materials and services, unit price, date and duration of delivery and execution.
5. The Procurement and Warehouses Office shall notify all units of the University of the Commodities and services governed by price agreements with suppliers.
6. All units of the University shall purchase goods and services as per the price agreements so long as such agreements are still in force. Approval of the university's Procurement Committee shall be obtained in the cases of purchases made outside the framework of the price agreements.
7. Price agreements shall be signed by the university's Procurement Manager, Legal Advisor and Operations Manager; this shall be done following the final approval of the appropriate authorized designee as provided for in the University's delegation of authority guidelines.

Procurement Office Role

Procurement Office Duties

1. The Procurement Office at the university shall secure the continuous availability of materials, products, necessities, fixed assets, services and other resources needed by the various departments



of the university. The task shall be done in a way, which guarantees that these entities will perform their duties properly. That shall be achieved through commitment to observe the following when concluding a contract or making a purchase:

- a. Securing the best prices, facilities and conditions
 - b. Observing quality standards and required specifications
 - c. Selecting appropriate sources
 - d. Supplying the required quantities.
2. The Procurement Office shall execute the purchase orders regarding the materials and services that the value of which ranges between AED 1,000 (one thousand dirhams) and AED100,000 (one hundred thousand dirhams) by looking into at least three price offers. The Procurement Office may also execute purchases through direct orders within a limit of AED 10,000 (ten thousand dirhams). In cases of purchases whose cost exceeds this limit, approval of the Procurement Committee shall be sought.
 3. As for purchase orders whose value exceeds AED 100,000 (one hundred thousand dirhams), the Procurement Office shall raise the issue in a note addressed to the Procurement Committee after consultation with the requisitioning unit to approve the procurement of works and determine the method of purchase. The note submitted to the Procurement Committee shall include a list of the proposed bidders in the cases of restricted tenders.

Procurement Office Responsibilities

1. Collecting and maintaining information on suppliers and goods.
2. Determining the standard required specifications in the purchased goods as defined by the requisitioning body.
3. Ensuring that the procurement transactions and the tendering invitation documents are compliant with the standards of quality.
4. Analyzing and examining the goods to be purchased in coordination with the requisitioner in terms of specifications, quality, prices, terms and conditions of purchase and delivery, as well as identifying ways of developing and improving the same.
5. Proposing the inclusion of new goods or agencies, revising, and improving purchase methods.
6. Negotiation with contractors and suppliers to secure the best possible prices.
7. Ensuring the compliance with specifications of materials and services for which quotations have been obtained - a step that makes the comparison between suppliers' prices logical. In the event of the variation of prices of materials and services offered by suppliers as a result of specifications differences, the items deemed by the requisitioning unit experts as non-compliant with the specifications shall be disqualified. In this regard, it should be noted that it is difficult to make price comparisons between items with heterogeneous specifications.
8. Submitting recommendations to the Purchase Committee regarding the imposition of penalties on suppliers and contractors and the lifting of penalties from them.
9. Establishing new, strong and long-term relationships with the suppliers dealing with the university.
10. Providing all the university's administrative units with all the necessary information and data on goods, local and potential suppliers to help those units prepare their annual budgets.
11. Drawing up the annual procurement plan and identifying the appropriate purchase sources based on the purchase plan already laid down by the requisitioning unit at the university.

12. Following up the implementation of the annual purchase plan and revising it when necessary, as well as securing uninterrupted flow of materials, items, spare parts, fixed assets and any other necessities for the various university units with the required specifications, quantities, quality and at best prices.
13. Receiving all materials requisitions, examining and validating them.
14. Establishing contacts with suppliers and inviting quotations from them.
15. Issuing local and external purchase orders and signing long-term and short-term contracts with suppliers
16. Following up the execution of the purchase orders in coordination with requisitioner.
17. Submitting periodical reports to the operations manager on the executed works.
18. Maintaining and updating the suppliers and contractors register.
19. Determining the monetary value of bid bonds in coordination with the Procurement Committee.
20. Determining the monetary value of tender documents in coordination with the Procurement Committee.
21. Approval of repayments for documents of cancelled tenders as per circumstances.
22. Regarding contracts related to the supply of continuously needed materials, steps to renew existing contracts or concluding replacement contracts shall start well before the expiry of the running contracts in order to ensure the availability of the required materials.

Business Ethics

1. The Procurement Office shall execute the contract with the utmost degree of commitment to business ethics and transparency and in an atmosphere characterized by high professional integrity and spirit of competition.
2. Splitting of purchases, works and services with the intention of circumventing the rules and procedures provided for in this manual is prohibited.
3. Full transparency with and equal treatment of all suppliers and negotiating with them in a professional manner shall be guaranteed.
4. Under no circumstances shall the prices offered by any supplier be revealed to another supplier.
5. In cases of renegotiation with a supplier on their offered prices, all other suppliers shall be accorded equal opportunities of negotiation.
6. It is strictly prohibited to award procurement and services contracts to a party with the aim of achieving personal interests for the university official in charge; or in situations in which that official is offered a reward, gift or any form of favoritism from a supplier or contractor with the aim of securing a contract or enjoying a special treatment.
7. The Procurement Office personnel shall abide by all policies and procedures, commit itself to continuous improvement to attract a large number of qualified suppliers and contractors and nurture a spirit of competitiveness so that only qualified businesses can survive. The Procurement Office personnel shall particularly abstain from the following:
 - a. Having a personal interest directly or through an intermediary in works or contracts linked to the university business,
 - b. Engaging in any professional work or commercial business activity related to the university business by themselves or through an intermediary, nor shall they lease any property, land or so with the aim of exploiting their jobs to achieve personal interests thereof.



- c. Offering preferential treatment to any person, group or establishment or acting in whatever manner that may undermine the public's trust in the university.
8. In cases of violations or suspicious practices, suppliers and contractors dealing with the university may submit complaints and grievances to the Vice-Chancellor or his deputy as applicable. Suppliers and contractors may also file grievances against the Procurement Office's decision on the award of bids or any perceived lack of fair competition requirements or any other form of illicit practices, provided that the grievances are genuine and well-founded.
9. Every staff member of the Procurement Office is under an obligation to safeguard the documents under his custody. The staff members shall be held accountable for safeguarding the information contained therein and shall not disclose such information to or share it with any other unauthorized parties or individuals except under certain rules and procedures applicable at the university.

Suppliers and Contractors

Register of Suppliers and Contractors

The following rules shall be observed:

1. The Procurement Office shall maintain a register for the prequalified suppliers and contractors to engage them in all types of services and materials contracts.
2. The Procurement Office shall set pre-qualification and registration standards for suppliers and contractors, depending on the nature of the business.
3. The Register of Suppliers and Contractors shall include the business activity profile, information on the business registration with the Chamber of Commerce and Industry, any licenses required for carrying out the activity, ownership particulars, full addresses and any other necessary business-linked information.
4. The Procurement Office shall finalize the process of registering suppliers and contractors, including the screening of the hard copy or electronic registration applications and attachments therewith. The office shall also finalize the pre-qualification process of the suppliers and contractors according to the applicable approved standards and conditions and shall ensure regular updating of the Register of Suppliers and Contractors.
5. The names of suppliers and contractors shall accurately match the particulars of the trade licenses or any other alternative equivalent credible documents. Particular attention shall be given to the acronyms attached to the legal personality of the business, that is, whether it is a company or an establishment or a corporation, etc.
6. Companies and establishments willing to register shall complete a registration application form specially designed to that end and submit it to the Procurement Office. The Office shall then scrutinize the licenses and certificates submitted by the applicant to ensure that they meet the conditions and legal requirements.

Pre-qualifying Suppliers and Contractors

1. The Procurement Office shall ensure that all suppliers and contractors registered with the university are qualified to perform their respective business activity. However, it should be noted that pre-qualification for a certain activity does not necessarily mean pre-qualification for other activities.
2. Suppliers and contractors may not be registered or have their registration renewed if they fail to meet the pre-qualification requirements.

3. Pre-qualification standards and conditions shall be recorded in a standard checklist which should address all legal, commercial, financial and technical aspects, as well as the track record of suppliers and contractors as follows:
 - a. The legal aspects referred to in the previous paragraph shall include all the licenses required to practice the business activity be they from the Economic Development Department or the Chamber of Commerce and Industry or any other relevant bodies. All documents shall be valid upon registration with the university.
 - b. The commercial aspects shall include the relationship with establishment managers, agency licenses, arrangements with expertly managed supply and delivery sources with which the university had engaged in previous business dealings, as well as other establishments and entities.
 - c. The financial aspects shall include a sound financial standing, which could be verified by a certificate of financial ability from a bank.
 - d. The technical aspects shall include the availability of highly skilled workers, appropriate and sufficient equipment, workshops and warehouses.
 - e. The track-record aspect could be established by looking at a statement listing successful award of previous contracts and former business dealings performed successfully.
4. In the cases of public tenders, each tenderer not registered in the suppliers and contractors register shall have to meet the pre-qualification requirements before opening the tender envelopes.

Procurement Committee

The committee shall be formed under a decision by the Vice-Chancellor or a person authorized by him. The number of the committee members shall not be less than five, including the chairperson and his/her deputy. The Committee shall look into bids, tenders and contracts and shall exercise its authority and discharge its responsibility in accordance with the provisions of this manual. The Committee's secretary shall be a non-member.

Procurement Committee's Meetings

5. The quorum of the committee's meeting shall only be valid with the attendance of the majority of members provided that the attendees shall not be less than four, including the chairman or deputy-chairman. The committee's decisions shall be taken by majority vote. If the votes are equal, the chairman or deputy shall have the casting vote. Objecting members shall have the right to request the noting of their objection in the minutes of meeting, along with the reasons thereof.
6. The meetings shall be held regularly, with the Committee's chairman determining their schedules. Members of the committee and concerned departments shall be notified of the dates of meetings. The Committee may hold emergency meetings should the need arises.
7. Immediately after the meeting, the secretary of the committee shall write the minutes, which shall be presented to the Committee members to be signed by them.
8. The minutes of meeting shall be deemed final following the endorsement of the Vice-Chancellor or his/her delegate.



Duties of Procurement Committee

1. Looking into purchase requests and making recommendations and decisions thereon. The Committee shall have the right to look into the contracting policies, strategies and practices. In this regard:
 - a. The Committee shall look into the financial and technical aspects of purchase requests and examine the technical reports prepared by the concerned committees of faculties and administrations.
 - b. The Committee shall ensure that the purchase procedures are neutral, transparent and observant of competitiveness and quality.
 - c. The Committee shall not consider the purchase requests if they are not technically sound.
 - d. The Committee shall have the right to go back to the requisitioning division to obtain answers to the Committee's questions. The secretary of the Committee shall notify the requisitioning unit of the date of the meeting arranged for that purpose.
2. Determining the prices for renting the university's grounds, show rooms and similar facilities to external clients.
3. Opening the envelopes of tenders and bids.
4. Looking into the complaints filed by suppliers and contractors and the recommendations regarding the incurred penalties and compensations, as well as the full or partial relief of delay penalties.

Mechanism of Submitting Purchase Requests to Procurement Committee

1. The Procurement Office shall receive materials and services purchase requests from the various faculties and administrative units through the electronic purchase system. The requests shall include all the information needed to carry out the purchase.
2. The Procurement Office shall sort the requests according to their estimated value.
3. The requests whose value falls outside the authority limit of the Procurement Manager (as per the table showing the approval authority limits) shall be referred to the Procurement Committee for action. The Procurement Office may also refer some other requests to the Procurement Committee for advice on how to carry out the purchase if it is deemed necessary to make this referral.
4. Having received the requests and ensuring the appropriateness of the materials, goods and specifications, the Procurement Committee shall determine the purchase and contracting method.
5. The Procurement Office shall carry out the purchase by issuing a purchase order or preparing a contract in the fashion approved by the Procurement Committee.

Types of Purchases

Purchases of operation fixtures and spare parts

These are the materials and items purchased to operate appliances, science laboratories and office equipment, as well as the materials needed for carrying out office and other activities. Such materials include stationary, spare parts of printers, photocopiers and office appliances; students' textbooks, ink, paper and other accessories.

Capital Purchases

These are the items that remain economically useful during a life span of more than one year. Such purchases can lead to the acquisition of fixed assets. They also include the expenditure on materials that prolong the lifespan of fixed assets or increase their productivity to an extent that may surpass the productivity of their original design capacity.

Services Purchases

These are the services which the university obtains from outsources. They include banking and financial institutions services, professional and consultancy services, issuance, maintenance, cleaning, advertising and administrative and office services.

Urgent Purchase (Emergency Purchases)

The purchase of materials or services for an urgent need if failure to make them available immediately would result in a significant harm.

- Urgent purchase shall be approved as follows:

The college or unit in question shall send an urgent purchase request to the Vice-Chancellors office or his delegate for approval, with the justification for the urgent purchase provided.

In case of approval, the requisitioning unit shall enter the purchase request on the electronic purchases system to finalize the purchase process after the deduction of the relevant amount from the approved expenditure category.

Procurement Procedures

Completing a Materials Requisition Form

The requisitioning department shall complete a materials or service requisition form via the university's electronic procurement system. This is done by entering all the necessary particulars required for executing the purchase process accurately, easily and quickly. The required quantity of materials and goods shall also be specified along with the delivery time and estimated value of these materials and goods. Assistance may be sought from the Procurement Office to specify the estimated value of the required materials and goods and to advise any other adjustments that might help in determining the purchase method but without recourse to split purchase.

Reserving the Estimated Value from the Budget

Funds shall be available to purchase the materials through the university's financial office. If funds are available for the requested purchase, the requisitioning department shall in coordination with the financial office arrange for releasing the necessary funds for executing the purchase process. Requests made during the last two weeks of the university year shall not be accepted.

Materials Requisition Approval

The materials requisition shall be approved by the Dean of the Faculty or the director of the relevant department and that shall be in accordance with the applicable delegation of authority guidelines.

Determining Procurement Method and Inviting Quotations

After receiving and reviewing the materials requisition or a contract request and ensuring that the materials, goods and specifications are well-defined, the procurement and contracting method shall be determined as per the provisions of this manual. These methods include general and restricted tender, practice purchase and purchase through a direct order.

Public Tender

1. Public local or international tender contracts shall be concluded for transactions exceeding AED 250,000 (Two hundred and fifty thousand dirhams)
2. The public tender shall be based on three governing principles: publicity, equality and free competition.
3. The public tender procurement process shall go through four main stages: Publicizing the tender notice, evaluating the bids, concluding a contract with a supplier and delivering the purchased goods or executing the works constituting the tender subject matter.
4. The public tender may either be international or local, depending on a recommendation by the Procurement Committee. The international public tender is the process in which the invitation to the tender is sent to suppliers and contractors within and outside the country by means of the known methods of publication. The local public tender is the type of tender in which the invitation is sent to all suppliers and contractors within the country. In this case, the public tender notice shall be advertised within the country only.
5. The tender may be restricted instead of being a public one. Such a decision shall be made on a recommendation by the university's Procurement Committee.
6. In case of international tenders, it is generally preferable for the prices to be presented on a standardized basis, e.g. F.O.B or C and F or C. I. F. - a measure to be determined by the Procurement Office.

Restricted Tender

1. The local or international restricted tender is a tender in which the invitation is addressed to a limited number of registered suppliers and contractors who shall be selected by the Procurement Office and endorsed by the Procurement Committee.
2. The restricted tender is conducted among a selected number of businesses engaged in the activity related to the tender subject matter, who are registered in the Register of Suppliers and Contractors. The number of selected tenderers shall not be less than three. Such type of tender may be international or local. It is sometimes referred to as selective tender or a short-list tender. It involves the selection of specific suppliers or contractors from a short list who are exclusively invited to tender. Those include, for example, suppliers of specialized equipment, which can only be obtained through a limited number of suppliers worldwide, including among other, electronics and special types of chemicals.
3. With the exception of the publicity element, a restricted tender is subject to all of the rules, regulations and procedures applicable to a public tender. Under all circumstances, the invitation to tender shall identify the unit to which the bids are submitted, closing date, required work or goods, value of bid bond, performance bond, tender validity period after the closing date - which shall not be less than 90 days - tender pricing documents - if any - and any other information deemed by the university as useful for the business.

Practice Purchase

This method refers to the carrying out of purchases by selecting a group of suppliers and contractors who are approved for supplying materials and services whose value does not exceed the amounts specified in the table showing the authority limit of approval attached to contracting methods. The following cases are also subject to this method of purchase:

1. When the items had previously been solicited through a tender but the submitted bids thereof had not been accepted and the time constraints do not allow engagement in a new tendering process. The method shall also be used if the purchase of the said items requires making choices between more than one supplier or contractor who have offered similar prices or conditions.
2. When the cost of tenders is not appropriate in comparison with the estimated value of the goods, contracts and services.
3. When the Procurement Committee decides that it is not in the interest of the university to procure items through a public tender.
4. The goods whose manufacture or imports are monopolized.
5. The goods, which are only available through a specific trader or agent.
6. The goods with very sophisticated specifications, which makes it difficult to identify or the works of art that the university wishes to have them performed by certain experts.
7. The goods or works contracts that are time-sensitive and cannot wait until tender procedures are carried out.
8. If the situation involves the supply of materials or performance of works or delivery of services in place of a defaulted or slow-moving contractor or in the cases of contract termination.
9. Purchase of property and agreements regarding insurance, shipment and customs clearance contracts shall apply this method.

Direct Order

Purchase under direct order refers to the conducting of the purchase process by directly approaching a supplier, negotiate, and conclude a contract with him without a need for contacting other suppliers. This method is used in the purchase of materials and services whose value does not exceed the amounts shown in the authority limit of approval table that the Procurement Office is authorized to endorse. When using this method, the Procurement Office shall secure the best prices. The following items are also subject to the same:

1. The items are produced or supplied by only one body or the services provided by a certain agent - which makes it difficult to carry out the purchase by tender or practice.
2. The items, jobs and services that need to be urgently provided. However, the purchase shall be limited to the minimum quantities needed for the job while the requirements of carrying out the purchase by other means are being met.
3. The items with de facto prices or those whose prices are determined by the international stock market or certain international tariffs.
4. The items, works or services that the public good requires them to be conducted in confidence.
5. The items or works provided to the university by government agencies.
6. The items or works that require highly specialized expertise whereby selection of the provider is determined by a technical committee set up by the Vice-Chancellor or his delegate.
7. Newly introduced items procured by the university with the purpose of testing them.



8. The periodicals, manuscripts, collections and scientific chips needed for laboratory work.

Inspection Committee

1. After completing the procedures of writing them off from the accounts books, fixed assets which are no longer economically feasible to operate or have become depreciated, as well as damaged, stagnant or junk items shall be referred to a special advisory committee called the "Inspection Committee"
2. The Inspection Committee shall be set up in each faculty or office with the approval of the Dean of the Faculty or manager of the office in question or their equivalent. The committee shall be comprised of at least three members who shall be university employees with appropriate experience. The committee shall evaluate the items, estimate their prices and propose the method of their sale - be it through an auction or sealed envelopes offers or any other method of sale of disposal items whatever their value is. The committee shall then submit its recommendations to the Procurement Office or equivalent just for guidance.
3. Inspecting fixed assets and depreciated equipment, evaluating their condition, making recommendations regarding their sale or otherwise or proposing methods of selling them through either an auction or sealed envelopes offers or other means of disposal determined by the committee.
4. The Inspection Committee shall see to it that the inspection site is appropriate for those willing to participate in the auction and that the arrangements for the auction are adequate to facilitate inspection of items and participation in the auction, and hence attracting the best bids. This shall be done with full observance of transparency and competitiveness.
5. Notes submitted to the Procurement and auctions committee regarding the sale or rent of assets shall reflect the content of the Inspection Committee's reports.

Auction

1. The public auction shall be advertised in accordance with the same procedures followed in advertising a public tender. The advertisement shall include the information and specifications of the items offered for sale or rent.
2. All rules, regulations and procedures followed in the case of public tenders shall apply to the sale or rent by auction on a case-by-case basis.

Tender

Tender Procedures

1. The Procurement and Warehouses Office shall fully prepare the tender documents and set the conditions for participating in it before the endorsement of the same by the Procurement Committee and the advertising of the tender. These shall include:
2. The full technical specifications of the item or items to be supplied and the designs and technical drawings and sketches related to construction works, as well as the type of the required service and an accurate description thereof.
3. If so required, stipulating the submission of sample catalogs or sketches, which shall bear the stamp of the supplier or carry some distinguishing mark. It shall also stipulate that two or more units of

the sample must be submitted in the case of items, which are consumable during tests and experiments conducted to determine their suitability.

4. Minutely detailed tables showing the required quantity of each of the tendered goods
5. The date set for opening the tender envelopes so that the suppliers and contractors (participating in the tender) can have ample time to study and submit their bids.
6. The tender validity period, which shall be, specified taking into account the market circumstances.
7. Payment conditions and guarantees for delivery, construction and provision of services.
8. Stipulating that when delivering materials, equipment, machinery or executing construction works, the supplier or contractor shall guarantee the fitness of these items during the required period.
9. Stipulating that fines, penalties and compensations shall be imposed in the cases that require the same and that these penalties shall be over and above the standard penalty clauses related to the failure of suppliers and contractors to fulfil their contractual obligations.
10. The tender notice shall be published at least twice in a widely read daily newspaper. The tender notice may appear on one or more foreign newspapers and via other available means.
11. The Financial Office shall receive the monetary value of the tender pricing documents directly from the tender participant under a note issued by the Procurement Office showing the tender number, participant's name and the amount of money paid by the participant. A receipt for the same shall be issued by the Financial Office.
12. Tender documents bearing the Procurement Office shall be handed out to the participants.
13. The Procurement and Warehouses Office may extend the tender validity period on a case-by-case basis.
14. The decision on the award of the tender shall be taken and the winner notified before the end of the tender validity period.

Bid Bond

A bid bond shall be secured for all tenders whose value is in excess of AED 1,000,000 (one million dirhams). The value of the bond shall be determined by the Procurement Committee as a lump sum amount or a percentage of the tender value. The bond may take the form of an unconditional and irreversible letter of guarantee issued by a bank operating in the country.

Receipt of Bids

1. Tender bids shall be submitted in two separate envelopes, with one of them containing the technical bid and the other the financial bid.
2. Bids received after the set deadline may not be accepted.
3. Tenders shall be priced in the local currency unless otherwise provided for. The price of tenders shall be rendered in figures and words and upon discrepancy; the price written in words shall prevail.
4. Scratching and erasing shall be avoided in the bills of quantities or price lists. Any correction shall be done by deletion, with the deleted parts duly signed and stamped by the bidder.
5. If the bidder has not placed a price opposite to an item in the lists attached to the bid, this shall be construed as refrainment from tendering for that particular item.
6. In case of indivisible contracts pertaining to works, services and supply, failure to mention a price for a work, an item or a service shall be construed as implicit inclusion of the prices thereof in the



total price of the bid but without prejudice to the Procurement Committee's right to disqualify the bid in question if the Committee deems it reasonable to do so.

7. The tender price quotations shall be deemed final and may not be revoked on grounds of price and currency fluctuations, taxes, duties, customs or any other similar situations. It shall be noted that the quoted prices are inclusive of all the costs required for the delivery of goods, completion of works and performance of services at the dates and locations specified by the university.
8. Bids submitted on the basis of discounting a certain percentage less than the lowest bid shall not be accepted. The bid price shall be a total fixed price.
9. The tender shall be conducted in accordance with the samples, specifications, drawings or approved services programs and other terms and conditions of the tender. The bidder shall be acquainted with the same. The bidder's submission of the tender shall be deemed an implicit acknowledgement thereof and hence the delivery of goods and services and execution of works shall be done accordingly.
10. The tender participant may submit more than one bid. However, he shall submit a separate set of original tender documents for each bid and shall clearly indicate in writing that each set of documents represents an independent bid.
11. The bid documents shall include a notarized copy of the company's Articles of Association along with a document containing the names of the persons who have the authority to enter into contracts on behalf of the company or the firm and the names of the persons who are in charge of the contract performance along with clear samples of their signatures. This condition shall apply to suppliers and contractors who are not registered with the university, provided that their prequalification and registration procedures be completed before opening the tender envelopes.
12. All tender documents shall be regarded as personal to the tender participant and may not be passed to others.
13. The University's Procurement Committee shall meet at the place and time specified in the tender notice. The Committee shall record the bids in official minutes that must include the names of bidders, all substantial details of the tender, as well as taking note of samples, if any. Samples shall then be officially handed over to the concerned bodies at the university for the purpose of analysis.

Tender Amendment

1. When it is necessary to make changes in the tender invitation documents with regards to matters related to the contract terms, quantities, technical specifications, delivery schedule, date of tender submission or to dispel any ambiguity or correct errors in the tender documents, the tender shall be amended and all bidders be notified thereof.
2. Amendment shall not be made to the technical specifications nor shall the tender floating or execution period be extended without approval of the end user unit and the Procurement Committee.
3. It is strictly prohibited to make any amendments to the tender package after the tender envelopes are opened.

Cancellation of Tender

1. With the approval of the Procurement Committee and the end user unit, the invitation to tender may be cancelled when there is a substantial change of circumstances that requires floating a new tender or when the required materials or services are no longer needed.

2. All participants in a restricted tender shall be notified in writing of the cancellation of the tender. Reasons for the cancellation shall be explained and all bids that have not been opened shall be returned.
3. The cancellation of a public tender shall be announced in the same way in which the tender invitation notice is publicized.
4. In case of the cancellation of the tender, the tender documents' fees shall be refunded to the tenderers.

Evaluation of Tenders

1. Sealed bids shall be opened by the Procurement Committee.
2. The end user unit shall evaluate the technical aspects of the submitted bids and provide the Procurement Committee with a technical report thereof.
3. The best offers shall be selected, taking into consideration that the offer with the least price shall be amongst the technically acceptable offers and observing that it is meeting the requirements of the end user unit and achieving value for money. The best offers may be selected by giving some weight to the aspects of their technical viability and financial feasibility. The best offer may be selected even though it is not of a lesser price, provided that convincing arguments are put forward thereto.
4. If the prices of two bids or more are equal, the Procurement Committee upon a recommendation from the Procurement Office and in coordination with the end user unit may split the amounts or quantities of the tender subject matter amongst the bidders offering similar prices so long as such split will not harm the business interests.
5. The Procurement Office shall notify the successful bidder of the award in an official letter within a maximum period of one week from the date of the Procurement Committee's approval of the bid award. The successful bidder shall be asked to submit a performance bond and sign the contract within a maximum period of 15 days as of the award notification date.
6. Should the successful bidder fail to sign the contract within a maximum period of 15 days from his notification of the award without a plausible excuse; he shall be deemed as having withdrawn his bid. Consequently, his bid bond shall be seized and the university shall have the right to seize all or some of his receivables in addition to reserving the right to demand compensation for incurred losses.

Bank Performance Bonds

1. The supplier or contractor shall submit an unconditional and irreversible performance bond issued by a bank operating in the country if the value of the successful bid is in excess of AED 1,000,000 (one million dirhams). The value of the bond shall be determined by the Procurement Committee. The bond amount, however, shall be no less than 10% of the bid value, provided that no bank interest is imposed on the value of the performance bond letter.
2. The supplier may be relieved of submitting a performance bond letter for purchase orders or contracts whose value is less than AED 1,000,000 (one million dirhams) in the following cases:
 - a. If the period of supply or performance of work in the contract does not exceed 90 (ninety) days. However, the Financial Office shall hold 5% of the value of each invoice payable to the supplier which shall only be released after three months from the date of final delivery or as per the terms and conditions of the contract.



- b. If the materials have already been delivered and the contracted work been performed.
 - c. If the supplier or contractor has monetary entitlements with the university equivalent to or more than the value of the performance bond. In such case, an amount equivalent to the value of the performance bond shall be held from said entitlements provided that the supplier or contractor submits a request to the Procurement Office to that effect.
 3. The performance bond shall be valid throughout the contract period, in addition to a required three more months of validity of the bond.
 4. The contractor shall provide a maintenance bond upon final execution of the contracted works (projects) as a guarantee for maintenance. The bond value shall amount to 5% of the contract value.
 5. A contractor with the university from government departments, public establishments and corporations or other government bodies shall be fully relieved of submitting a performance bond and shall also be relieved of advance payment bond paid by the university to the contractor.
 6. If the successful bidder fails to submit the value of the performance bond within 15 days as of the date of notifying him of his bid acceptance or from the effectivity date of the contract, the university may:
 - a. Seize the bid bond
 - b. Blacklist the bidder, remove his name from the university's Register of Suppliers and Contractors, and suspend any dealings with him for one year as of the date of the award decision. The Financial Office shall be notified thereof.
 7. The original documents of the bonds shall be kept with the Financial Office which shall be responsible for their renewal if need be. The originals of the bonds shall be returned to the contractor without prejudice to the contract terms and conditions as per the following:
 - a. Approval of the Procurement Office for materials contracts and purchase orders.
 - b. Approval of the Services and Facilities Office or equivalent for services and works contracts.

Contract

Drafting and Signing of the Contract

1. The Procurement Office shall prepare the contract documentation and coordinate with the Legal Advisor to prepare the contract format.
2. The contract shall be signed by the Procurement Manager, Legal Advisor and Operations Manager after the final approval of the relevant designee authorized to carry out such a task as explained in the university's delegation of authority manual.
3. The contract shall be signed by the supplier or contractor who shall sign their initials on each page of the contract and its attachments.
4. The Procurement Office shall issue two original copies of each services or materials supply contract, with one copy kept by the Procurement Office and the other sent to the supplier or contractor. A photocopy of it shall be forwarded to the Financial Office and the end user unit at the university.
5. The procurement Office shall issue a purchase order or a request order after the signing of the contract by the contracting parties. The purchase order shall be signed by the Procurement Office in accordance with the delegation of authority system.

Contract Administrator

The end user unit shall nominate one of its employees to administer each service contract related to the unit. The appointment shall be effected under a note submitted to the Procurement Committee. The nominee shall then be the end user unit's representative and the person authorized to deal with the contractor on behalf of the unit.

Responsibilities of Contract Administrator

The Contract Administrator shall undertake the following tasks:

1. Approval of all contract invoices.
2. Ensuring the performance of the contract at the specified time and in accordance with the conditions and specifications provided for in the contract, taking into account the quality requirements and the legal rights of the parties to the contract.
3. Ensuring that the university has properly fulfilled its obligations in a manner that protects its interests.
4. Dealing with the requests for information and amendments, disputes, claims and indicators of contract termination or cancellation. That shall be in accordance with the authority delegation manual and the manual herein.
5. Maintaining complete documentation on the performance or violation of the contract, with a view to protecting the rights and interests of the university.
6. Specifying the precise date for the performance of the contract if the period of the performance of the contract is broken down in days.
7. Carrying out all other procedures linked to the university's fulfillment of its obligations so as to smoothen the performance of the contractor's work.
8. Observing the non-change of the works provided for in the contract or non-addition of any works not provided for in the contract unless the same is done under an approved variation order.
9. Regarding contracts related to the continuously needed services, the contract administrator shall ensure the start of procedures to conclude a replacement contract well before the expiry of the running contract in order to ensure the continuity of the service at the university.

Contract Commencement Date

1. The period set for the performance of the contract shall start from the day following the signing of the contract or from the date on which the site is handed over to the contractor, whichever is practicable, unless otherwise has been provided for in the contract.
2. If the Contractor or his representative fails to arrive at the site to take it over on the specified date, a report shall be written and a copy thereof shall be sent to the Contractor. The date shall be noted therein and a copy of the same shall be forwarded to the contractor. Said date shall be considered as the contract's commencement date.

Termination of the Contract

1. The Contractor shall perform the contract in accordance with its terms and conditions, otherwise he shall be subject to the penalties provided for in the contract and in this manual.
2. In case of fraud, manipulation or bribery by the contractor, the university shall have the right to cancel the contract, seize the performance bond and perform the contract at the contractor's expense, still reserving its right to compensation.



3. In the case of the contractor's bankruptcy or insolvency, the university shall have the right to cancel the contract, seize the performance bond and reserve its right to compensation.
4. In the case of the contractor's death, the university shall have the right to cancel the contract and return the performance bond or allow the contractor's successors to continue performing the contract.
5. Should the contractor 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 overlooked - an issue left to the discretion of the Contract Administrator.

Amendment of the Contract

Any amendment to the contract regarding quantities, specifications or otherwise shall be done under a Variation Order with the consent of both parties to the contract and the approval by the person authorized to take such action under the university's delegation of authority system and the manual herein.

Advance Payments

The contract may include a provision allowing advance payments to the contractor within the limits and in accordance with the conditions set by the contract. However, under all circumstances, payments shall be made against a bank bond of equivalent value and in the same currency. Such matter, however, shall be within a minimal limit.

Contract Performance Delay and Penalty

1. Should the contractor fail to perform the contract within the specified period, the provisions hereof and other applicable laws in this regard shall apply.
2. Should the supplier fail to deliver all required quantities or the contractor fail to perform the works or part thereof by the dates specified in the contract (including rejected materials and works or materials which have not been supplied) the university shall have the right to take one of the following actions:
 - a. Granting the supplier or contractor an additional time grace if the same is deemed in the best interest of the university. However, this shall be subject to the approval of the Procurement Committee and shall be applicable to contracts and purchase orders of a value exceeding AED 250,000 (Two hundred and fifty thousand dirhams).
 - b. Purchasing the materials or performing the works at the expense of the supplier and contractor. In this case, the supplier and contractor shall bear the burden of any price increase or incurred administrative expenses at a rate of 10% of the value of the materials or works which the supplier or contractor have failed to supply or perform after the lapse of the grace period.
 - c. Terminating the contract, seizing the performance bond and claiming due compensation without prejudice to the university's right to impose the delay penalty provided for herein.
3. Ministries, public agencies, corporations, and other government bodies shall be exempted from the application of the provisions of this article.
4. The contractor shall complete all the contracted works in accordance with the terms and conditions provided for in the contract and within the specified timeframe.

5. The Procurement Committee, may upon request from the contractor, relieve him of the delay penalty if supporting documents has proved that the delay was a result of force majeure beyond the 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 incidence leading to the delay and shall include an explanation of the reasons causing the delay.

Provisional and Final Receipt of Works (Projects)

1. The provisional receipt of works shall be carried out by a committee called "Receipt Committee" which is formed under a decision by the Vice-Chancellor or his delegate. The Committee shall have five employees in its membership, including the chairman. Receipt of works shall be attended by the consultant (if available) and the Contract Administrator to ensure that the contractor has completed the works in accordance with the terms and conditions of the contract.
2. The committee shall write a report of receipt from the contractor, which shall acknowledge full provisional receipt if all the terms and conditions of the contract and its attachments have been met. Otherwise, treat it as a qualified receipt if the Committee demands the completion of some limited aspects of the project within a certain period of time specified by the Committee.
3. A final certificate of works completion shall be issued at the end of the guarantee and maintenance period. Under said certificate, the Contractor shall receive the value of the warranty held by the university.

Responsibilities of Receipt Committee

1. The Committee shall receive the materials and services related to the purchase orders whose value exceeds AED 250,000 (Two hundred and fifty thousand dirhams)
2. The Committee shall inspect and receive the materials after ensuring that they comply with the required technical specifications.
3. The Committee shall meet within three working days at the maximum as of the date the Committee was notified by the warehouses of the provisional receipt.

Electronic Purchase Methods

1. Electronic purchases are subject to the same rules and procedures provided for herein, with the following matters being observed:
2. All tenders and direct orders transactions shall be conducted electronically through the [university] portal, unless the same is not possible for technical reasons related to the unavailability of appropriate information technology systems.
3. Public tenders' notices shall be made on paper-based media outlets such as newspapers and magazines while simultaneously being advertised via electronic means.
4. No cash payments shall be made against the electronic tender documents.

Stock

Stock Items

1. Materials shall be classified as stock items at the discretion of the Procurement Office.
2. The “stock items” shall be entered in the registers of warehouses and accounting books as “custody” items when they are purchased. Their value shall only be charged to their appropriate expenditure category when they are issued for use and consumption purposes.

Non-Stock Items

1. Non-Stock items shall not be added to the custody of warehouses or included in their inventory records.
2. The value of non-stock items shall be charged to their appropriate expenditure category immediately after their receipt.

Disposal Items

1. “Disposal Items” shall be kept in a separate place in the warehouses until they are disposed of. Meanwhile, they shall be under the supervision of storekeepers.
2. “Disposal Items” shall be recorded in special registers independent of the warehouses inventory and accounting records.

Materials Coding

The Procurement and Warehouse Office shall set up a central coding system and a specifications guide for all stock purchases.

Stocking Policies and Provisions

1. The Financial Office shall keep accounting books to monitor the value of stock. The books shall be matched on a monthly basis with the data on the warehouse system.
2. The Procurement and Warehouses Office shall specify a minimum stock limit, a maximum stock limit and a reorder limit for each of the stock items. These limits shall be noted in the warehouses’ records.

Storekeepers and their Duties

1. A storekeeper for each warehouse shall be appointed as per the university organizational structure. A storekeeper may have one or more assistants who may take his place in his absence.
2. Storekeepers are personally responsible for items under their custody. They shall safeguard and take care of these items, be aware of their weight, quantity, type and measurements, as well as all that might expose them to damage or loss. They shall only be discharged of responsibility for damage or loss if there is evidence available to the university proving that the damage or loss was unavoidable and that it was a result of circumstances beyond the storekeepers’ control.
3. In the case of the storekeeper’s termination of service or absence for whatever reason, a stock taking shall be carried out and a replacement shall be appointed and assigned the duties of the storekeeper.

4. Storekeepers shall submit periodic lists every three months to the Procurement and Warehouses manager so that he can take the necessary action regarding the following:
 - a. Surplus items.
 - b. No longer needed items.
 - c. Obsolete items.
 - d. Unusable items.
 - e. Items exposed to damage.
 - f. Items which have limited expiry date.

Rarely Needed, Stagnant and Surplus Items

The items which are not requested or issued as reflected in the warehouses' inventory records for twenty-four solid consecutive months shall be written off and turned into disposal items to be auctioned out or sold in any other method consistent with the applicable regulations.

Receiving, Stocking, and Issuing Stock Items

1. The storekeeper shall receive the "Stock Items" and inspect them to ensure that they match purchase orders in term of quantities and specifications. Should the materials inspection need special technical expertise, the storekeeper shall seek assistance from an employee with expert knowledge on the received items.
2. The items whose value exceeds AED 250,000 (two hundred and fifty thousand dirhams) shall be received by the Receipt Committee and the storekeeper.
3. A paper receipt voucher for the actually received quantities which meet the specifications shall be issued and signed by the storekeeper and the Receipt Committee chairman in the cases that so require.
4. Items which do not comply with the specifications or in excess of the required quantity specified in the purchase order shall be kept in a special place as a first step of a process to return or replace them as the case may be. The supplier shall be notified of the same in writing by the Procurement Office. The Financial Office shall also be notified thereof.
5. Stock Items shall be issued to user colleges and administrative units in electronic vouchers. The Issued items shall be priced according to the approved accounting policy. The Value of the issued items shall then be included under the relevant expenditure category and the quantity and value shall be deducted from the warehouse stock and accounting records.
6. The items issued but later returned to the warehouses shall be recorded in an electronic or paper voucher. Their value shall be deducted from the same relevant expenditure category under which they were deducted upon issuance. The quantity of the returned items shall then be added to the warehouses' custody and their value recorded in the warehouses 'accounting books.
7. The storekeepers shall see to it that the used items are stored in a place other than the place where the new items are stored. They shall also make sure that the flammable materials are stocked in special warehouses that observe their nature.

Comprehensive Annual Stocktaking

1. A comprehensive stocktaking of all contents of the warehouses shall be conducted at least once a year without prejudice to the perpetual surprise stocktaking system applicable in the course of the year.



2. The comprehensive annual stocktaking shall start on 15th August of each year and be completed before the end of August.
3. Committees for annual stocktaking shall be set up under a decision by the Vice-Chancellor or his delegate.
4. In forming stocktaking committees, it shall be observed that the Financial Office and the Internal Audit Office are represented. The stocktaking shall be carried out in the presence of a storekeeper.
5. Stocktaking committees shall prepare lists of counted items showing the actual balances of items and matching them with balances on the warehouses' records, taking note of any possible surplus or shortage. If there is surplus or shortage, it shall be noted in the stocktaking lists.
6. The stocktaking lists shall be prepared according to the form developed by the Financial Office for that purpose.
7. A copy of the stocktaking lists shall be forwarded to the Internal Audit Office for their opinion. In case of spotting a financial or administrative breach, the matter shall be referred to the Vice-Chancellor or his authorized delegate to take the necessary disciplinary action against the breacher in accordance with the applicable law.
8. The Procurement and Warehouses Office shall settle the stocktaking inconsistencies by making additions or deductions after receiving the verdict of the Vice-Chancellor or his authorized delegate.

Partial, Surprise Stocktaking

1. The internal audit office shall conduct a surprise partial stocktaking as part of the perpetual stocktaking program.
2. In case of finding a shortage or a surplus, the internal audit office shall investigate the reason behind the shortage and report the findings to the Vice-Chancellor or a delegate authorized by him to look into the matter.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 2.0	26/02/2017	New Policy – Comprehensive regulatory method for purchasing, procurement, contracting and inventory	Procurement Manager

Budget Policy

Policy Owner	Office of Budget & Planning Manager	Responsible Office	Office of Budget & Planning
Approved By	Chief Operating Officer	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 Participation in Planning and Budgeting

Policy Owner	Office of Budget and Planning	Responsible Office	Office of Budget and Planning
Approved By	Chancellor	Effective Date	Apr 2021
		Next Review Date	Apr 2024

Purpose

This policy aims at specifying the nature of faculty contribution 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 inputs and expectations from all stakeholders.

Scope

Involvement of faculty members in the annual budget preparation cycle serves as an effective tool for the University's management to gather inputs and 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. This is primarily concerned with the development of short-term (annual) plans and budgets of colleges that reoccurs annually. However, this requires faculty to be involved in a wide range of University planning and budgeting activities, but this does not apply to higher level decisions about salary structure, benefits, and other matters related to compensation policies of the University.

Policy Statement

The critical role of faculty members in the University and their responsibility in delivering the intended learning outcomes and curriculum necessitate faculty participation in the overall planning and budgeting activities at all levels. This requires that faculty members provide their inputs, requirements and expectations on a timely basis, together with other information needed to understand and advise administrators on planning and budgetary matters.

Expectations

Faculty participation reflects their active role in curriculum planning and enriching the teaching and learning experience. Their inputs and requirements are critical for the initiation, structuring, staffing, and advice on the overall feasibility of academic programs, which are all having major budgetary implications. This is also important in adopting best practices in teaching and learning activities. Therefore, involving faculty members in such matters increases the potential success factors of the overall University's resource allocation processes, reflects the teaching and learning priorities, motivates their commitment and improves the overall performance.

Procedure for Faculty Participation

The faculty participation in planning and budgeting works on different levels. The requirements for such levels are as follows:

- **Department Level**

When preparing the budget proposals of colleges, Deans should involve Heads of Departments (HOD's) in all planning and budgeting activities related to their own departments, in terms of estimating and justifying any additional faculty slots that might be needed, planned changes and/or terminations of academic programs, academic support positions, and any other key requirements, projects and activities that are planned for the upcoming academic year. This should also take into consideration the necessary resources that might be needed to conduct improvements on educational curriculum, remedies needed in light of the regular assessment results of academic programs, CLO's, PLO's, satisfaction surveys, comments and suggestions gathered from students and other stakeholders, ensure full compliance with CAA accreditation standards, seeking international accreditations of certain academic programs and the underlying requirements to meet the standards, in addition to other teaching and learning activities. The key outcomes of this stage shall be included in the college's Annual Business Plan (ABP) that is submitted along with budget proposal of the college.

Deans should make sure that HOD's inputs, planned initiatives and recommendations are well discussed, justified and reflected in the college's ABP and budget proposal.

- **College Level**

Once inputs and recommendations are gathered from HOD's and reflected in the college's ABP and budget proposal, another round of discussions at college level shall be conducted with the Dean, where further inputs, requirements, suggestions and recommendations can be sought at the college level.

This should be conducted through the College Council, where the Dean of college presents the consolidated budget proposal of the college, along with different planned initiatives, projects and other key priorities.

At the college level, several high-level and common aspects of planning and budgeting can be further discussed and decided, which may include marketing activities, fee structure, student enrollment planning, research activities, proposed new academic programs or termination of existing programs, extra-curricular activities, key planned events and conferences, staffing requirements, matters related to spaces and facilities of the college; facility renovation, labs, clinics, equipment, furniture, and other student services in general.

Discussions and faculty participation at both levels should be affected through collaborative meetings that are well documented and supported by Minutes of Meetings (MOM's).

Budget Planning Committee

The Dean of the college shall present the college's Annual Business Plan of the college along with the budget proposal to the Budget Planning Committee. At this stage, it is also recommended to involve key administrators at the college in the Dean's meeting with the committee. This can include HOD's, Program Coordinators, some members of the college's council, or any group of faculty members selected by the Dean to participate in this meeting.

Document History

Version	Date	Update Information	Author/Reviewer
V 1.0	24/04/2021	Initial Policy	Budget Manager



Auxiliary Enterprise Policy

Policy Owner	Finance Manager	Responsible Office	Office of Finance
Approved By	Chief Operating Officer	Effective Date	Jul. 2017
		Next Review Date	May. 2020

Purpose

The purpose of the University Auxiliary Enterprises Policy is to ensure compliance with AU's policy regarding business activities and to exercise the required control and supervision on the University campus.

The policy shall apply to all campus personnel, faculty, staff, student organizations and visitors, and to all facilities, including all buildings, land and open spaces, and to any person, organization, or business desirous of using campus facilities.

Definitions

- **Auxiliary Enterprises** are business enterprises or other support activities (as distinguished from primary programs of instruction, research, and public service) operated on a self-supporting basis, the primary purpose of which is to provide specified services to the campus community.
- **Self-Supporting** means that revenues received (fees for services, sales, dedicated general fees, contributions, and investment income) should cover the direct and indirect operating expenses, assignable indirect costs, debt services and capital expenditures.
- **Campus Community** as used in this policy refers to faculty, staff, and students.

Statement

- The director of the University Facilities and Services Office has the responsibility to control, manage and supervise all business activities on the campus.
- The University Facilities and Services Office, under the auspices of the Office of the Chief Operating Officer, shall be the only body empowered to conduct business activity on the University's campus.
- Business activity shall include any undertaking of an individual or group, which encompasses the production, sale, distribution, by sale or gifts, of products or services. The sale and distribution of products and services includes any method of marketing by way of direct selling or indirect selling, including the use of posters, flyers, handouts, or other promotional literature. Such activities shall be subject to the provisions of this policy.
- Distribution of non-commercial written material such as pamphlets, handbills, circulars, newspapers, magazines and other materials may be given away or sold on a person-to-person basis in open areas outside of buildings and other closed structures on the campus, except as follows. No stand, table or booth shall be used in distribution except upon permission of the appropriate authority. Distribution shall be made from a designated location and sales person are not allowed to walk around campus distributing written material.
- There shall be no advertisement or other public statement in which AU's name is used in connection with any non-university organization, business, or person in any manner or medium that implies that

the University supports, approves, or endorses any product, service, interest, position, or ideology of that organization, business, or person.

Support Role of Auxiliary Enterprises

Auxiliary enterprises are operated as essential elements in support of the mission of the university. They are to provide quality products and/or service at the lowest practical price.

Designated Auxiliary Enterprises

The following are designated auxiliary enterprises:

- Building Maintenance, Security, Cleaning services, Parking and Transportation Services, Residence Halls, University Catering Services, Printing and Photocopying Services, etc.

Management

- The university will provide administrative, accounting and financial oversight to auxiliary enterprises through the office of the COO, Student Affairs Deanship, Administrative Department and University Health Services as applicable.
- AU warrants that the use of the Leased Premises by the Lessee will not violate any restrictions, reservations, or laws in relation to the Leased Premises.
- Water and electricity shall be provided by AU.
- AU shall not be responsible for business losses that might occur due to electricity or water shortage due to blackouts, force majeure, inclement weather, or other occurrences that are beyond the reasonable control of AU.
- The enterprises must make sure that the rented Premises and all other products served by AU be prepared, held, and handled in a safe and sanitary manner in accordance with the hygienic standards of the Ministry of Health in the United Arab Emirates (MOH). Food items must be pre-packed, or if prepared on-site must be supervised by a qualified food service professional. Local health codes must be followed. No tobacco, alcohol or pork products will be permitted.
- Enterprises must permit AU staff to enter the Leased Premises at any time outside normal business hours in case of an emergency or otherwise during normal business hours. Such arrangement will not unreasonably disturb or interfere with the enterprises' use of the Leased Premises or operation of its business. It will help to examine, inspect and show the Leased Premises for purposes of leasing, sale or financing, to provide services or make repairs, replacements, changes or alterations as provided for in this Lease and to take such steps as AU may deem necessary for the safety, improvement or preservation of the Leased Premises.
- Enterprises must maintain the Leased Premises and all improvements therein in good order and condition. Keep the leased Premises in a clean condition and remove from the leased Premises at its expense all food waste (floor and tables) and garbage.
- Enterprises must not use the Leased Premises for any other purpose other than the business agreed upon with AU.
- Enterprises must ensure that an appropriate security arrangement for the Leased Premises are in place at all times.
- Enterprises are required not to do anything in or outside the Leased Premises that might cause nuisance, damage or annoyance to AU or any person.

- Enterprises must comply with any reasonable request from AU for the delivery of information, data or such other documentation relating to the operation of the business.
- Enterprises should not keep, in Leased Premises without the permission from AU, any hazardous substances, articles, chemicals or anything that may be in nature challenging to the human life.
- Enterprises may from time to time at their own expenses, make changes, additions and improvements to the Leased Premises to better adapt the same to their businesses. However, any change, addition or improvement shall only be made after obtaining written consent from AU, and shall be carried out in a good and competent manner and only by persons selected by the enterprises and reasonably approved in writing by AU.
- Enterprises shall pay promptly when due all costs for work done or caused to be done which could result in any lien or encumbrance on AU's interest in the property, shall keep the title to property and every part thereof free and clear of any lien or encumbrance.
- If during the Term the Leased Premises or any part thereof is be damaged by fire, lightning, tempest, structural defects or force majeure or by any additional perils from time to time defined and covered in the standard broad-coverage fire insurance policy carried by AU on the Leased Premises, the following provisions shall apply:
 - a) If, as a result of such damage the Leased Premises are rendered partially unfit for occupancy, the Rent shall abate in the proportion that the part of the Leased Premises rendered unfit for occupancy by enterprises is of the whole of the Leased Premises. If the Leased Premises are rendered unfit for occupancy by the enterprises, the Rent shall be suspended until the Leased Premises have been rebuilt and repaired or restored.
 - b) Notwithstanding, subsection (a) above, if in the opinion of AU's architect or engineer given within 30 business days of the damage occurrence, the Leased Premises shall be impossible to rebuilt, repaired, or restored with reasonable diligence within 60 days after the occurrence of the damage; consequently, either AU or the enterprises may, at their choice, terminate this Lease by notice in writing given to the other party within 15 days of the AU's architect or engineer opinion. If notice is given by AU or the enterprises under this Section, then this Lease shall be terminated from the date of such damage and the enterprises shall immediately surrender the Leased Premises and all interest therein to AU. The Rent shall be apportioned and shall be payable by the enterprise only to the date of the damage and AU may thereafter re-enter and repossess the Leased Premises.
 - c) If the Leased Premises are capable with reasonable diligence of being rebuilt, repaired or restored within 60 days of the occurrence of such damage, then AU shall proceed to rebuild, restore or repair the Leased Premises with reasonable promptness within 60 days. Any additional period due to delay caused by lock-outs, slow-downs, shortages of material or labor, force majeure, inclement weather or other occurrences which are beyond the reasonable control of AU; and the Rent shall abate in the manner provided for in subsection (a) above until the Leased Premises have been rebuilt, repaired or restored. Provided that nothing in this Section shall in any way be deemed to affect the obligation of the enterprise to repair, maintain, replace or rebuild the Leased Premises as otherwise provided for by the terms of the Lease.
- All prices applied by the enterprises should be submitted to AU for approval to meet the University standards to the provision of student service. Upon the acceptance between both parties on all price lists, no alterations or changes shall be permitted without the prior consent of AU. Proposal for price changes can be submitted upon contract renewal in written to AU for approval.

Charges for Goods and Services

- Selling prices, rents, fees and other charges by auxiliaries are to be set at a level adequate to support the operating and reserve requirements.

Charges for University Services Provided to Auxiliary Enterprises

- Auxiliary enterprises are expected to pay their appropriate share of costs for physical facilities and other directly chargeable support costs related to their operation. In addition, auxiliary enterprises shall pay an appropriate share of other administrative support costs of the university. Such charges shall be determined each year in accordance with a formula.
- Account Requirements: Each auxiliary enterprise shall use accounting systems applicable to the type of enterprise operated. Appropriate information shall be available in and adapted to the University financial accounting system.
- The enterprises shall pay to the University, during each Gregorian calendar year of the Term, as rent for the Leased Premises the ----- AED (the "Minimum Rent") for both male and female sections, described as ----- AED for the Male section and ----- AED for the Female section in which the payment method will be as follows:

Sequence	Amount	Due Date
First Payment	AED	--/--/20--
Second Payment	AED	--/--/20--

- Divided into three payments per year on the basis of 30%, 30% and 40% were (.....AED) is paid in advance upon signing the contract and the rest of the amount is paid accordingly after 4 months of signing the contract.
- All amounts payable by the enterprises to the University pursuant to the Lease, shall be deemed to be rent and shall be payable and recoverable as Rent in the manner herein provided.

Reporting Requirements

- Annually, a report shall be prepared for each auxiliary enterprise in a format provided by the COO. The report shall be submitted to the COO, who shall advise the Board of Trustees of operational problems indicated by the report.
- The Finance Manager shall coordinate the submission of the reports.
- In connection with the annual University budget process, a report shall be prepared by each auxiliary enterprise describing its operation for the fiscal year then being concluded and evaluating how well the auxiliary enterprise serves the needs of its users.

Advertising

- The University Advertising Policy shall apply to all non-university entities and/or commercial businesses, which desire to place advertising on the University campus. Nothing herein shall prohibit

University departments from advertising and promoting their own services or programs on the University campus.

- In general, commercial businesses and all non-institutional entities are prohibited from indiscriminately advertising on the campus. Flyers, poster, etc. promoting business establishments containing advertising are banned. The prohibition also includes the placement on campus of non-university publications, which contain advertising.
- Advertising of a private enterprise on campus is permitted only in approved campus publications, newspapers, magazines, etc.

Advertising may appear in the following campus media:

- Advertising related to sports and cultural events
- Promotional material related to auxiliary service units and their products
- Other official publications of the University.

Sales

University Facilities and Services Office shall be the only body empowered to conduct sales activity on the campus.

❖ Procedures for Commercially Sponsored Businesses at AU

- Individuals or businesses wishing to do business must contact the University Services Department to be approved in advance.
- Commercial activities will be subject to space availability and must adhere to University System of guidelines and policies.
- The Director of the University Facilities and Services Office will grant or deny permission upon confirmation of the availability of appropriate sales space.
- A fee of Dhs----- per day payable to AU is required. This fee shall be paid in installment to the Office of Finance.
- Sales or advertisements in direct competition with AU's services, activities and operations of the University are prohibited.
- Vendors must be prepared to provide their own table(s), chair(s), and extension cords to display their products. At its sole option, the University may provide limited assistance.
- Distribution or sale of newspapers shall not be made in buildings or closed areas on campus except as provided for by this regulation.

❖ Procedures for University Sponsored Activities

a) Sports:

- The University Facilities and Services Office reserves the right to manage all food, beverage and other goods at all sports and cultural events held on campus. The department may delegate this responsibility to other departments on a case-by-case basis.

b) Student organizations:

- Sales by student societies must be conducted totally by a recognized student society. Co-sponsoring with a non-university group is prohibited.

- The student society must contact the Student Affairs Deanship to request authorization for a sale.
- Student societies are required to adhere to all Student Activities' policies regarding sales and fund raising. Funds raised must be deposited to and accounted for through the student society's account.

c) Academic and administrative departments

- Academic offices, units or programs may also have limited authority to conduct sales in conjunction with educational activities. Revenue and expenditures associated within academic departments and unit's educational courses, which involve, as part of the educational experience, the sponsorship of activities and the production and sale of a product on a limited basis shall be accounted for through the Office of Finance.

Solicitation

- Solicitation shall include any undertaking of an individual or group which attempts to promote the sale or use of a particular product or service. Specifically, this policy addresses the following:
 - Soliciting on campus (door to door or office to office) is expressly prohibited.
 - There shall be no soliciting of funds, prizes, or awards for scholarships, loans, grants, equipment, supplies, or other purposes unless it is approved by and in cooperation with the Office of the COO and/or others expressly authorized by the Chancellor.
 - Solicitation in or on all campus facilities (buildings and grounds) by private individuals, faculty, staff, or non-resident students is prohibited.
 - Personal solicitation through campus e-mail list is prohibited.
- ❖ **Procedures for Student Sponsored Solicitation**
 - Solicitations by a Student Society is permitted but must be conducted totally by a recognized student group. Co-sponsoring with a non-university group is prohibited.
 - Student societies must contact the Student Affairs Deanships to request authorization for a solicitation event.
 - Student societies are required to adhere to all Student Activities' policies regarding sales and fund raising.
- ❖ **Procedures for Alumni and Development**
 - The office of Alumni must follow the solicitation policy governing any other administrative unit on campus.

The University reserves the right to accept or reject any or all sponsorship activities.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	University Central Committee
V 1.1	24/10/2011	Policy reread - added procedure for Student sponsored solicitation (student right to sale)	Financial Controller
V 1.2	16/07/2017	Minor change –advertising	Chief Operating Officer

External Audit Policy

Policy Owner(s)	Finance Manager Internal Audit Manager	Responsible Office	Office of Finance
Approved By	Chief Operating Officer	Effective Date	Jul. 2017
		Next Review Date	Jun. 2020

Purpose

The purpose of this policy is to ensure that external audit independence is maintained and viewed as being highly reliable, as well as to outline procedures for Ajman University (AU) personnel and external auditors in the examination of the University financial operations.

Statement

The importance of the policy is in its objectivity and in focusing on the efficiency of the operations, effectiveness of the procedures, accuracy of the financial information presented, as well as compliance with applicable laws and regulations. The objective of the auditor is, to obtain reasonable assurance that the financial statements as a whole are free from material misstatements whether due to fraud or error, thereby enabling the auditor to establish an opinion on whether the financial statement are prepared, in all material respects, in accordance with applicable reporting framework.

Definitions

- **Audit:** Independent and objective appraisal to examine or review the fair presentation of the financial statement.
- **External Audit:** Independent and objective appraisal performed by an external audit entity.
- **External Auditor:** Professional auditor not employed by AU, and may represent a certified public accounting firm.

Objective

Ajman University (AU) will fully cooperate with and assist external auditors whose responsibilities involve examination and confirmation of the University transactions. On a timely basis, AU will provide external auditors with access to all records that are relevant to the audit process, except those deemed by AU to be legally privileged or protected.

All external audit activity will be properly authorized; effectively and consistently tracked and communicated. This policy applies to all audits and reviews performed by external auditors for all University entities.

Approval of External Auditors

The External Audit firm shall be approved by The General Assembly based on the Board of Directors' recommendations and in arriving at this decision; the Board shall consider a number of factors:

- The professional reputation of the Audit firm.

- The ability of the Audit firm to perform in accordance with generally accepted auditing standards.
- Depth of qualifications and experience of the engagement team members.
- Quality of audit services, and the level of fees.

Notification and Procedure

The audit process will normally consist of the following phases:

Notices

It is required that the Audit firm notifies AU of proposed audits in advance. The Finance Manager will receive a letter or some type of communication from the Audit firm informing of an upcoming audit, review, site visit. The notice should indicate the scope and purpose of the audit and the dates of when the work will be undertaken. The COO as well as the Senior Audit Manager should be notified immediately upon receipt of such a request.

Audit Visits

The objectives of an audit visit are to establish the purpose, scope and timing of the audit, the information required by the external auditors, and the physical facilities needed. This opening meeting shall include management and administrative staff involved in the audit and will facilitate full communication.

This will facilitate the auditor in planning, and to ensure that appropriate attention is given to important areas of audit, identify potential problems on timely basis, organize and manage the engagement properly, assist in the selection of team members, assist in the coordination of work done.

In case any department is contacted directly by an external auditor without prior notification of the proposed audit from the Finance Manager, that department will notify immediately AU management.

Fieldwork

From the audit commencement to its conclusion it is important that the Finance Manager maintains contact with the external auditor; so as to facilitate the audit by ensuring that the auditor receives the right information and correct any erroneous information which may have been given inadvertently.

At the request of the external auditor, the Finance Manager will arrange interviews, secure required documents, answer questions, and supplement interviewee statements.

The External Auditor will review procedure manuals and business processes, tests compliance, and assesses the adequacy of internal controls.

The External Auditors will be instructed to direct all audit findings that require a formal response to the Finance Manager.

A working file of each audit containing all audit reports, responses, and related correspondence will be prepared by the Office of Internal Audit and will be maintained in a central file that will be subject to AU records retention guidelines.

Exit Audit Visit

In the Exit Audit Visit the External Auditor will inform AU Management of the audit findings, clarify possible misunderstandings, and identify any issues that are unresolved. The External Auditor may submit a draft report, of the audit findings and request a scheduled response.



Upon receipt from the external auditor of the draft report, the Finance Manger will distribute copies of the draft report to the concerned Offices and coordinate the management responses. If required, date postponement will be coordinated with the external auditor.

The COO will review and approve all responses to draft audit report prior to submission to the External Audit Firm.

Final Audit Report

After obtaining the responses to the draft report based on the Exit Audit Visit meeting, the External Auditor issues a final report to the COO; whom in turn will distribute copies to the General Assembly.

Other copies will be sent as appropriate to concerned AU offices.

Corrective Actions

A corrective action plan is required for all audits that contain findings and recommendations. Every effort should be made to implement recommendations within six months of the issue date of the report.

Responsibility/Authority

Finance Manager

- Monitors external audit activity.
- Arranges a formal audit visit for all appropriate campus representatives to clarify the scope of the audit, expected audit procedures, and necessary records and information.
- Resolves questions and provide guidance.
- Informs campus management if serious issues arise that requires immediate attention.
- Arranges an exit audit visit, and discuss findings and recommendations.
- Distributes copies of the draft audit report to the concerned offices for written management responses.

Internal Audit Manager

- Assists the Finance Manager with coordination of external audit activities.
- Follows up the implementation of audit recommendations.

Office Managers / Supervisors

- Coordinates requests for specific information or interviews with employees.
- Forwards all draft and final audit responses to the Finance Manager for review.
- Implements agreed-upon audit recommendations.

University Employees

- Be courteous, cooperative, and professional when dealing with the auditors.
- Assist the auditors with specific requests and answer only the questions asked by the auditors.
- Refrain from providing irrelevant, unrequested information.

- Notify the Finance Manager if an auditor's work appears to be beyond the defined scope of the audit.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	University Central Committee
V 1.2	16/07/2017	Minor change –added clause for audit visit	Chief Operating Officer

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	Dec. 2019
		Next Review Date	Sep. 2022

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

Intellectual Property Policy

Policy Owner(s)	Legal Advisor	Responsible Office	Legal Office
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 this Law.

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 Graduate Studies & Research 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 expressly stipulates that the University is entitled to any invention reached at by the employee.
- 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 Graduate Studies & Research, 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.

G. GOVERNING LAW

Intellectual Property rights shall be governed pursuant to the UAE legislations.

H. COMPETENT COURTS

In case of any litigation, only UAE Courts are competent to hear cases arising out or related to Intellectual Property rights.

I. 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.

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- The University reserves the right to modify or add to this policy at any time, provided that such change will only apply to works, inventions and other subject-matter in which Intellectual Property Rights subsist that come into being after the effective date of the change.

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
V 1.0	24/10/2010	Initial policy	University Research Council
V 2.0	03/09/2017	New Policy – sets clear ownership arrangement for all member of the University community	Legal Advisor
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	Marketing and Communication Manager	Responsible Office	Office of Marketing and Communication
Approved By	Vice Chancellor for Communication and Community Affairs	Effective Date	Sep. 2019
		Next Review Date	Jul. 2022

Purpose

The purpose of this policy is to ensure that the information produced by the University is consistent across all media and production processes, and most importantly to ensure quality and brand integrity for all printed materials that represent the University. This policy concerns all that is related to the updating, publishing, and archiving of University general publications, which entails catalogs, manuals, brochures, announcements, invitations, newsletters, advertising, and website content.

Statement

It is the policy of the University that all communications activities are the responsibility of the office of Marketing and Communications (OMC). These activities may include but are not limited to: print and digital publications, advertising, logo and brand identity, press releases, social media, and AU website. This will ensure that Ajman University communication activities are coordinated through one central office. No other party or person shall be authorized to issue or release any of these activities without the prior approval from the OMC in order to promote and protect AU brand.

Printing and publishing

All University published or reproduced material must be coordinated through the OMC. This entails publication or printing material used for internal or external distribution to provide information about the University or promote its programs, activities, and services. This includes, but not limited to: Periodicals, press articles, manuscripts, brochures, and booklets, which convey the University official statements of rules and regulations.

In addition, the OMC is the sole point of contact for printing University stationery items, such as letterhead, envelopes and business cards; office forms for internal use; and other printed materials. Changes to AU stationary format, or request for a special design, shall require the approval of the Vice-Chancellor for Advancement and Communication.

For all institutional documents such as Catalogs, Manuals, and Handbooks, the Office of Institutional Planning and Effectiveness (OIPE) is responsible to update the print versions as well as the material presented on the AU website. Prior to been published and made available in both print and electronic publications to students, faculty, and staff; institutional documents are reviewed periodically to ensure their validity and accuracy.

Advertising

All advertising that encompasses, television, newspapers, radio, magazines, flyers, and posters; must comply and be based on templates and formats made available by AU design team and pre-approved by the OMC.

When dealing with external agencies the OMC has the authority to decline or terminate publications of material that does not comply or adhere to these templates and formats.

AU Web-Site

The University's official website is managed by the OMC, who shall be working with AU deans, department heads, office directors and managers, to create websites, design material and develop marketing strategies, for their respective units. The purpose of the AU website is to provide high-quality information about each college's mission, educational opportunities, services, academic programs, course content, events, and community offerings.

Social Media

AU recognizes the role of social media as a means to foster communication and the exchange of information with its community and the public. For this purpose, AU authorizes its colleges, departments, and offices to only use its official social media accounts and staff members must not use AU social media accounts for their own personal benefit, nor shall they use their personal social media accounts to give the appearance of officially representing the University. Whenever social media is used, the following protocol should be observed:

- Conform to best practices and policy usage
- Clear transparency of position and role of staff at the University.
- Confidential or proprietary information about the University, students, employees, or alumni shall not be posted.
- The terms of service of any social media platform shall be observed.

Recruitment

Faculty and staff wishing to contact media for recruitment purposes, promotion of events and programs shall coordinate with the OMC. This policy is not intended to impede AU faculty and staff's access to the press or freedom to make public statements.

AU Logos and Brand

AU logo is more than a graphic and tag-line alone, it is a concept that shapes and defines the University. To ensure consistency in the promotion of the Ajman University brand, no logo or symbol incorporating the name of the University, colleges or Units, can be developed without prior approval from the OMC to avoid errors and misrepresentation of institutional identity elements. The AU logo should appear on all print, video, and electronic media produced by AU offices or student services to promote AU.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	19/11/2018	Initial policy draft	Marketing Communication Manager
V 1.1	02/09/2019	Final Approved Policy	Vice Chancellor for Advancement and Communication

Social Media and Communications Policy

Policy Owner(s)	Vice-Chancellor for Communication and Community Affairs	Responsible Office	Office of Marketing and Communication
Approved By	Chancellor	Effective Date	May 2021
		Next Review Date	May 2024

Introduction

Whether you are hosting an event or creating materials for your college/ office/ unit at Ajman University, the Office of Marketing and Communications (OMC) has policies, procedures, guidelines, and templates to assist in your efforts.

Before making a request, please review OMC's 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.

Strategic Priorities for Marketing Ajman University

The Office of Marketing and Communication 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.

Guidelines and Procedures

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, proofreading, registration for events/workshops, translating, etc (specify in your request)
- Timeframe for turnaround: four days before the launch date
- Changes and revisions: maximum two day before the event with all changes approved

Resources for Creating Your Materials

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 2.5% of universities worldwide.** This percentage is calculated based on the fact that QS has ranked us in the Top 750 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.

Image Library

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.

Design Toolkit

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

OMC Policy for Event Promotion and Design Support

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?

Guidelines and Rules for Posting on AU Platforms

- 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 no more.
- 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. It can be through a LinkedIn profile specific for research such as "Research At AU" all research done by faculty members can be posted there and reposted when mentioning @ajmanuniversity.

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.

Policy Objectives

- To provide staff and students with information on 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
-

Definition

Social media are websites and applications that enable users to create and share content or to participate in social networking. Examples of popular social media sites include, but are not limited to:

- LinkedIn
- Twitter
- Facebook
- YouTube
- Instagram
- Snapchat

Legal Risks

There are several pieces of legislation relevant to the use of social media. Staff and students using social media should be mindful of the following legal risks and acts in particular:

- **Defamation:** posting untrue content adversely affecting a person's or organization's reputation, which has caused, or is likely to cause, harm
- **Malicious falsehood:** posting untrue and damaging content with an improper motive, resulting in a financial loss for the subject or is grossly offensive, or of an indecent, obscene or menacing character.
- **Harassment:** subjecting someone to a course of conduct that causes them distress or alarm, including stalking, trolling and cyber-bullying
- **Intellectual property infringement:** posting content which copies a substantial part of a work protected by copyright
- **Breach of confidence:** posting confidential information. Public information that is confidential or secret. Students and staff must also familiarise themselves with the confidentiality rules of their area of the university. For example, healthcare and require the respect of confidentiality in clinical cases.
- Eliminate unlawful discrimination, including bullying, harassment, and victimization; to promote equality of opportunity between different groups; to foster good relations between different groups.

Staff and Students

Setting up a new social media account

Before creating a new social media account, it is important to know if the new platform is necessary or not or if it adds any value to the University. Research should be conducted on its effectiveness and how this account sits together with those already established across the University.

If a new account is to be established, its name should begin with 'ajmanuniversity' for consistency with other University accounts. The new account must be registered by the Marketing Manager by emailing a.moustafa@ajman.ac.ae

Social media posts

All posts should be sent to the Social Media Specialist and will be checked with the Marketing Manager first for final approval before posting.

Posts must be in line with the values and ethics of Ajman University and all relevant university policies. Those posting content on social media accounts must not post or promote:

- any student faces without their consent signed formally on our consent form (form here)
- content which harasses, bullies or otherwise intimidates
- content which instructs or causes others to harass, bully or otherwise intimidate



- content intended to incite violence or hatred
- abusive content relating to an individual's age, disability, gender reassignment, marriage/civil partnership, pregnancy/maternity, race, religion or belief, sex, or sexual orientation.
- breach others' privacy through sharing or promoting private information, images, or other content or be used to criticize or argue with colleagues, students, customers, partners, or competitors.

Students are required to act appropriately. For example, Health Sciences, Dentistry, and Medical students must retain professionalism and respect confidentiality in clinical cases. Students need to conduct themselves in a manner that demonstrates respect for university staff, fellow students and property, and the community.

Failure to act in line with the above may result in the University taking disciplinary action.

Account security

Social media accounts are at risk of hacking and this can cause significant reputational damage and potentially serious misinformation for stakeholders. There are also considerable resource implications following on from any breach in security such as a compromised social media account.

When there is a social media takeover a temporary password can be added and then changed when takeover ends.

Escalating concerns and issues

If a social media account has been hacked or a post from a corporate account attracts several negative comments and it is not clear how best to respond, staff should flag this with the Marketing Manager and seek guidance.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	20/05/2021	Initial policy	Vice-Chancellor for Academic Affairs

AU Fundraising Policy

Policy Owner	Development Director	Responsible Office	Office of Development
Approved By	Vice Chancellor for Advancement and Communication	Effective Date	Feb. 2018
		Next Review Date	Jul. 2021

Rationale:

Ajman University (AU) has identified fund diversification as one of its strategic priorities for the coming phase in the development of the University. The Fundraising Policy herein sets and defines the standards and guidelines upon which all fundraising activity within the University will be regulated and rated. It also identifies the most appropriate ways in which the generosity of donors can be recognized and celebrated.

Objectives:

This Policy sets out to guarantee that all AU fundraising activities are executed in an appropriate manner based on consultation with, and authorization from, the right AU constituencies. The Policy, as such, supports AU's mission and serves AU's strategic goals.

All cultivation, solicitation and appeal activities made by, or on behalf of, AU seek to enhance the status of the University with all its stakeholders (Alumni, students, staff, friends, corporate partners, etc.) who play an indispensable role in the mission of AU.

Core values:

- Transparency: all fundraising will adhere to a strict code of ethics that ensures full transparency of processes and activities.
- Innovation: fundraising activities will attempt to use innovative methods and processes whenever possible
- Resilience: the complexity and difficulty of fundraising are simultaneously embraced and circumvented through high resilience.
- Tenacity: our belief in the value of what we do will be an inexhaustible source of our determination to achieve our desired goals and meet our targets.

Authority and Responsibilities

The Chancellor

AU Chancellor is the principal fundraiser for the University.

Vice chancellor for Communication and Community Affairs(VCAC)

The Office of the VCCCA 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 VCCCA.

The Office of Development

The Office of Development is responsible for managing AU's fundraising activities and for building, fostering and maintaining the relationship with existing and prospective donors. The Office works in close association with the Offices of Alumni and Marketing and Communication to maintain a network corporate partners, students, alumni, friends, parents and other individuals or groups for the purpose of obtaining charitable gifts that would allow AU to accomplish its strategic goals.

Approaches for fundraising can only be made by authorized personnel in the Office of Development or by designated members of the Fundraising Council as per the processes and guidelines contained in this document.

The Office of Development issues guidelines that will govern the relationship between Office of Development staff and Deans/Managers, as required. Such guidelines include providing support in identifying fundraising projects that are aligned with AU strategic goals. The guidelines should clearly delineate the responsibilities of the Dean/Manager and the Office of Development staff member concerned in relation to fundraising priorities throughout the fundraising process, which generally follows/covers the steps below:

- Cultivation
- Solicitation
- Donor stewardship
- Major gift initiatives
- Campaigns
- Fundraising innovation

Fundraising Council

The AU Fundraising Council, which is made up of College representatives and steered by the Office of Development, is responsible for all AU fundraising campaigns and initiatives. The Council will hold regular meetings to strategize, action- plan and implement fundraising activities at University and College levels. It is also expected that the Fundraising Council organize an annual Fundraising Retreat prior to any formalization of strategies, action plans or large-scale fundraising drive.

Deans of AU Colleges/Managers of AU Offices (when applicable)

Deans, Directors and Managers are expected to cultivate strong relationships with various stakeholders and, therefore, their role in introducing potential donors to the Office of Development is crucial. It is not an expectation that Deans and other members of the AU management team make direct approaches to donors. In fact, all fundraising activity should filter through the Office of Development or the Fundraising Council, as appropriate for each drive/initiative.

Members of the AU Management Team, to include Deans of College, can be requested to attend special meetings with the Fundraising Council.

Student Fundraising

AU students can engage in fundraising for a purpose after obtaining prior approval from the Office of Development or the (Fundraising Council). An application form (Appendix5) needs to be submitted and a decision will be communicated to the applicant(s) within 5 working days.

Thamer Fund

Thamer Fund may act as a suspense account for all monies raised through fundraising drives. Thamer Fund Committee 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 remits, it is an expectation that the Office of Marketing and Communication will be closely involved.

Major campaigns that align with AU strategic priorities require support from AU Cabinet and the Fundraising Council. These will require mobilization at the highest level, depending on the size of the campaign and on the fundraising target.

Gift solicitation is to be undertaken as per a general strategy developed by the Office of Development in consultation with the Fundraising Council and relevant stakeholders. It is incumbent upon all members of the AU community, including the Cabinet and Board of Trustees, to offer logistical, consultative and personal network support to the Office of Development in order to accurately assess potential donors, donation viability and to tailor solicitation approaches to the individual interests/aspirations/causes of prospective donors.

Gift Types

AU can accept gifts in any of the following forms:

- Cash Gifts: these are paid in cheques, bank transfers or using credit/debit cards.
- Gifts-in-kind: this can be in the form of property or land predominately; however, gifts of advanced and/or specialized equipment can also be accepted in return for certain privileges.
- Pledges: these are commitments to make a specified donation amount within a specified timeframe, not exceeding 5 years. Such commitments are legally binding and donors need to provide post-dated cheques (PDCs) to cover the pledge amount in total. Where a pledge is linked to a naming privilege, the pledge must be fulfilled¹ in order for the naming privilege to be granted.

¹ Submission of PDCs constitutes fulfilment of the pledge.

Gift Acceptance

AU will accept gifts in any of the forms above. Acceptance will be subject to a satisfactory outcome of searches on donors be these organizations, individuals, partners ...etc. Gifts will be entered under the relevant codes and donors will be added to the relevant database in due course.

Gift Acknowledgement

AU will acknowledge gifts through the Office of Development, which, in the case of major gifts/donations, will be responsible for communicating with the Office of the Chancellor for appropriate recognition of such donations.

Gift Entry and Recording

Gifts will be entered and recorded as per the financial guidelines of the University.

Named Endowed Scholarships

A named endowed scholarship fund can be established and named after the donor, or in honor of any individual/group chosen by the donor, subject to a minimum gift of AED 1 Million (See Appendix 1). The amount will be invested as the University sees fit in order to generate an annual income that covers the required annual tuition fees for the named scholarship. The University undertakes to cover any shortfall that might result from currency fluctuations or from a reduced return on investment (ROI.)

The University will guarantee this scholarship for 25 years (subject to renewal). One student will benefit from the scholarship every 4-5 years (depending on the length of the undergraduate course studied).

Named Current Use Scholarships

A Named Current Use Scholarship Fund can be established with a minimum commitment of \$5,000² per year for a period of 4-5 years (depending on the College that the scholarship is restricted to, if any). Unlike an endowed scholarship, these funds are renewable every 4-5 years, and spent in full on the scholarship. Based on the amount donated, the named scholarship can be either a full scholarship or a percentage/partial scholarship offered to students on a restricted or non-restricted basis. Donors will need to fulfil their pledge before naming privileges are granted.

Scholarships can be named after the donor or any individual or group the donor wishes the scholarship to bear the name of. Scholarship funds can be in honor of living individuals or in memory of departed ones.

The University will guarantee this scholarship for its duration and will be subject for renewal by mutual agreement between the donor and the University (See Appendix 4). One student will benefit from the scholarship every 4-5 years.

¹ Circa AED 18,400 at the time of policy drafting (September 2017).

Named Endowed Professorships

A named endowed professorship fund can be established and named after the donor subject to a minimum gift of AED 5 Million (See Appendix 2) to be invested as the University sees fit in order to generate an annual income that covers the required annual cost of a full-time faculty member (in the College, discipline and sub-specialization specified by the donor, if any). The University undertakes to cover any shortfall that might result from currency fluctuations or from a reduced ROI.

Professorships can be named after the donor or any individual or group the donor wishes the professorship to bear the name of. Professorship funds can be in honor of living individuals or in memory of departed ones.

AU Policies and Procedures

The University will guarantee this professorship for 25 years (subject to renewal).

Current Fund Major Gifts

Gifts of over AED 100,000 (See Appendix 3) are classed as “major gifts” and will be acknowledged as per the stipulations in 2.4 above. Where such gifts are not designated for a particular purpose, the amounts will be added to the AU Current Fund for disposal according to AU priorities and initiatives.

Major Gift Tickets at AU

The gifts below constitute major gifts. At present, AU will accept the amounts below or any multiples of the amounts below.



Annual Gifts/Planned (Deferred) Gifts

AU will accept annual and planned gifts, which will be added to the AU Annual Fund for disposal.

Donor Policies and Procedures

As per the AU values or transparency, all communication with potential and current donors will be governed by clarity of message and a strict delineation of expectations and rewards. As such, donors will be recognized according to the criteria specified herein and based on any prior agreements made with the donors.

Donor Recognition

All donations made to AU will be recognized by written communication from the Office of Development, or the Chancellor, for major gifts. Other forms of donor recognition will include:

1. Special events organized by the Office of Development in association with relevant AU Offices/Colleges; these can include agreement signing/cheque submission and dedication ceremonies;
2. AU publications and social media channels;
3. Named recognition, which usually requires a minimum level of contribution and is governed by additional terms and conditions;
4. Recognition of annual giving, as per the table below:

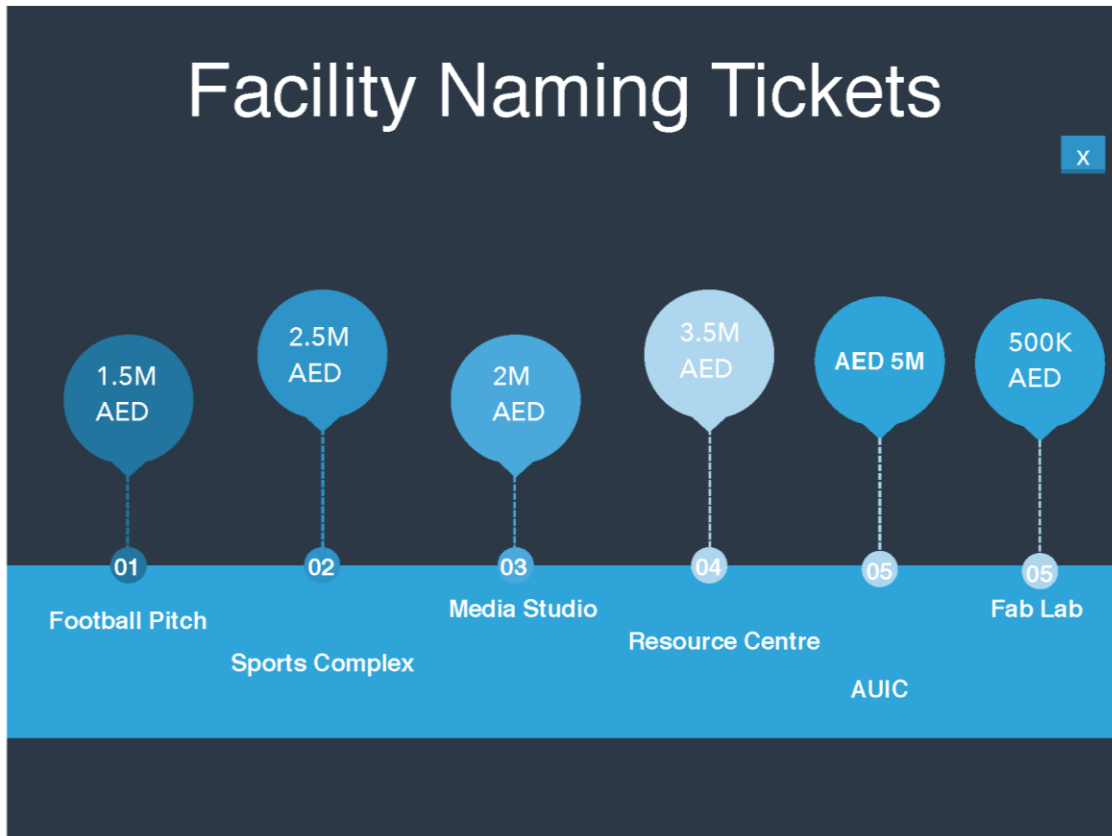
Type	AU Friend	AU Associate	AU Partner
Target	NA	NA	NA
Timeframe	Sep. to Aug.	Sep. to Aug.	Sep. to Aug.



Tickets	AED 50 - 499	AED 500 - 1499	AED 1500 - 5000
Recognition	AU Pin	AU Pin and Benefits	AU Pin, benefits and Annual

Donor Naming Opportunities

Donors can be offered a naming opportunity as a higher level of donor recognition. A donor's name can appear on a physical entity within the University, e.g. a building/lecture hall or a bench/tree, or it can be attached to a specific scholarship or research fund...etc.



Donor Privacy and Confidentiality

Donors who wish to remain anonymous will not be named in any internal or external communications. Disclosures shall be subject to legal and audit purpose compliance.

Due Diligence

Ajman University will undertake all reasonable measures to:

- ascertain the sources of all donations made by individuals, corporate entities, and other organizations;
- ensure that such donations are made for purposes consistent with the University's ethical principles and strategic plan;
- 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 Professionals³, Donor Bill of Rights, as follows:

Donors have the right:

1. To be informed of AU's mission, and to be reassured of the University's capacity to use donations effectively for the declared intended purposes.
2. To be assured their gifts will be used for the purposes for which they were given.
3. To receive appropriate acknowledgement and recognition.
4. To be assured that information about their donation is handled with respect and with confidentiality, as per any prior agreement.
5. To expect that all relationships with individuals representing AU with the donor will be professional.
6. To have the opportunity for their names to be deleted from shared databases.
7. To feel free to ask questions when making a donation and to receive prompt, truthful and forthright answers.

Compliance

Fundraising at Ajman University shall apply the highest level of compliance to the legal framework for fundraising activity as applicable to UAE organizations and, in particular, higher education institutions.

UAE Legal Framework

All gifts or donations made to the University will be processed by the Office of Development and submitted to the Chairman of the Executive Committee of the Board of Trustees for ratification.

Statement of Ethics

The policy herein has been checked against the International Statement of Ethical Principles in Fundraising, retrieved from: <https://goo.gl/hcKtBz>

² The AFP is based in Canada and operates in Mexico as well. It has been in the not-for-profit fundraising domain since the 1960s.



Appendix 1



Named Endowed Scholarship

AU Donors

Contribute AED 1M and receive the following benefits:

- Named scholarship, in perpetuity, and the ability to set certain criteria for student eligibility and selection (e.g. country of origin, major, gender).
- Invitation to participate in the scholarship selection process and to meet new awardee(s).
- Company logo posted on the AU sponsor webpage with a hyperlink to the company's website for one year (corporate sponsors).
- Acknowledgment of contribution in a press release.
- VIP invitation to the AU Annual Dinner.
- Invitation to a special Donors' Dinner hosted by BoT members.
- Prominent recognition at the next commencement ceremony.
- Invitation to commencement ceremonies, with reserved seating.
- Recognition in the next Annual Report.

Appendix 2



جامعة عجمان
AJMAN UNIVERSITY

Named Endowed Professorship

AU Donors

Contribute AED 5M and receive the following benefits:

- Named endowed professorship in a discipline and specialisation that interests the donor.
- Invitation to participate in the selection process of the awardee.
- Acknowledgment of contribution in a press release; and subsequent references to the donor in line with press mentions of the awardee.
- VVIP invitation to the AU Annual Dinner.
- Invitation to a special Donors' Dinner hosted by HH Chairman of the AU Board of Trustees.
- Prominent recognition at the next commencement ceremony.
- VVIP invitation to commencement ceremonies and other AU special events.
- Recognition in the next Annual Report.



Appendix 3



Current Fund Contribution

AU Donors

Contribute AED 300K and receive the following benefits:

- Ability to choose fund and/or funds to deposit the donation into*.
- Ability to choose to allocate the donation to a named current fund scholarship.
- Company logo posted on the AU sponsor webpage with a hyperlink to the company's website for one year (corporate sponsors).
- VIP invitation to the AU Annual Dinner.
- Invitation to a special Donors' Dinner hosted by BoT members.
- Mention of donation at the next commencement ceremony.
- Invitation to commencement ceremonies, with reserved seating.
- Recognition in the next Annual Report.

*Graduation Fund, Research Fund, Visiting Professorship Fund, Visiting Scholarships Fund, Social Innovation Fund.



/ajmanuniversity

development@ajman.ac.ae

Appendix 4

Named Current Use Scholarship⁴

Part A: Contact Information

Donor(s) Name(s):

Contact(s) Name(s):

Title/ Organization (if applicable):

Address:

Emirate:

PO Box:

Telephone (Home):

Telephone (Mobile):

Telephone (Office):

Email address:

Part B: Scholarship Fund Description

A Named Current Use Scholarship Fund can be established with a minimum commitment of \$5,000 per year for a period of 4-5 years (depending on the College that the scholarship is restricted to, if any). Unlike an endowed scholarship, these funds are renewable every 4-5 years, and spent in full on the scholarship. Based on the amount donated, the named scholarship can be either a full scholarship or a percentage/partial scholarship offered to students on a restricted or non-restricted basis. Donors will need to fulfil their pledge before naming privileges are granted. **Scholarships can be named after the donor or any individual or group the donor wishes the scholarship to bear the name of. Scholarship funds can be in honor of living individuals or in memory of departed ones.** The University will guarantee this scholarship for its duration and will be subject for renewal by mutual agreement between the donor and the University. One student will benefit from the scholarship every 4-5 years.

Part C: Selection Criteria for Named Current Use

Scholarship Fund Please select your scholarship:

- ☐ Non-restricted scholarship (this means that anyone can apply and it is up to the University Scholarships Committee to decide on the awardee)

Restricted scholarship (if this option is ticked, please tick all that apply below)



Scholarship recipient must be⁵:

☐ A Full-time student	☐ A Part-time student	☐ A Full-time or part-time student
☐ Female	☐ Male	
☐ Aged 17-19	☐ Aged 20 -22	☐ Aged 22+ (mature student)

A holder of a _____passport/A _____national

Applying to the College of _____(Better to add the program/ major) In financial need (better to mention that the committee will decide)

A holder of a UAE Secondary School Certificate with an average of 90% and above (or equivalent) Other (please specify in the space below)

Part D: Scholarship Name for Named Scholarship Fund

Official name of scholarship:

- ☐ In honor of:
- ☐ In memory of:

Information about the individual(s) or organization(s) after whom/which the scholarship is named:

Part E: Scholarship Amount

☐ AED 25,000

☐ AED 50,000

☐ AED 75,000

☐ AED _____ (minimum contribution is USD 5000) Please choose a payment option:

1. The scholarship will be funded by a single gift of AED _____ of the full amount in one instalment.
2. The scholarship will be funded by an initial gift of the equivalent of 25% of the total amount pledged. This is equal to AED _____. The initial payment will be followed by three payments of AED in September (*Insert Year*) _____ and September (*Insert Year*) _____ and September (*Insert Year*) _____. **All payments must be received in the form of PDCs at the date of signing this agreement in order for naming privileges to be granted.**

Part F: Acknowledgement and Recognition

Ajman University can publicize my donation

☐ Yes

☐ No

If yes, can the University include the donor name (as indicated on page 1 of this form)?

☐ Yes

⁴ AU Scholarships Committee will undertake all deliberations related to awardee selection. Donors are welcome to attend Committee meetings and participate in the selection process.

☐ No

Part G: Signatures

I hereby agree to the terms and conditions set out in this form and commit to financial obligations within the timeframes specified. I understand that the scholarship will be made available for students making applications for the September/February intake following the signing of this agreement.

Donor's Printed Name

Donor's Signature

Date



Appendix 5

FUNDRAISING PROPOSAL AUTHORISATION FORM

Submitted by:		
Name:		
Position:		
College/Office/Student Group:		
Mobile:		
Email:		
1. Please provide a detailed overview of what project/need funding is being sought for:		
2. Please detail from whom support is being requested and their contact details. Where support is being requested from a company or trust please list the details of the individual to whom the proposal will be sent and their contact details?		
3. Timeline (When do you expect to make the request, receive funding, expend funds and report to donor and University?)		
4. Benefit/s to Donor?		
Approved By:		
Dean/Manager/Council Member	Signature	Date
Director of Development	Signature	Date
VCAC	Signature	Date

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	11/10/2017	Initial policy draft	Development Director
V 1.1	07/02/2018	Final Approved Policy	VCAC

11. Community Engagement



جامعة عجمان
AJMAN UNIVERSITY

Community Engagement Policy

Policy Owner	Community Engagement Manager	Responsible Office	Office of Community Engagement
Approved By	Vice Chancellor for Communication and Community Affairs	Effective Date	Mar. 2021
		Next Review Date	Mar. 2024

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
V.1.2	16/03/21	Reviewed and no changes needed	Community Engagement Manager