



جامعة عجمان
AJMAN UNIVERSITY

POLICIES AND PROCEDURES MANUAL 2018-19

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- B. SERVICES AND RESOURCES POLICIES
- C. FACULTY AND PROFESSIONAL STAFF POLICIES
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A. Institutional and Governance Policies



جامعة عجمان
AJMAN UNIVERSITY

1. AU Mission, Vision and Values

1.1. Mission Statement

Ajman University (AU) is a multicultural academic institution that offers a broad range of high quality and relevant 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.

1.2. 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.

1.3. 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.



2. Board of Trustees Policy

Policy Name	BOARD OF TRUSTEES		
Policy Owner	Chancellor	Reviewed	Annually
Approved By	AU Board of Trustees	Approved Date	Oct. 2016

2.1. 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.

2.2. 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 periods.
- AU Office of Institutional Planning and Effectiveness (OIPE) is requested to develop the methodology to be used for assessing the above listed items.

2.3. 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

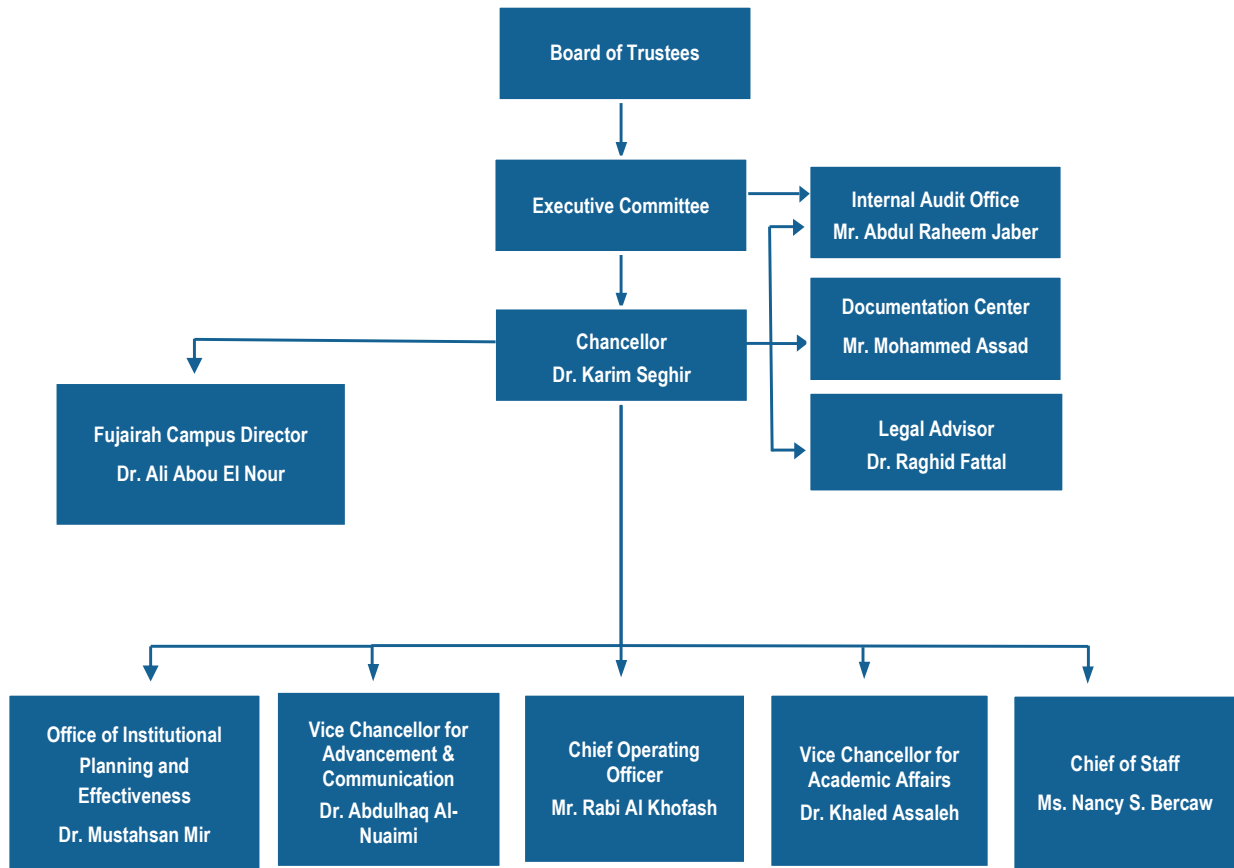
2.4. Role and Responsibility of Higher Administration

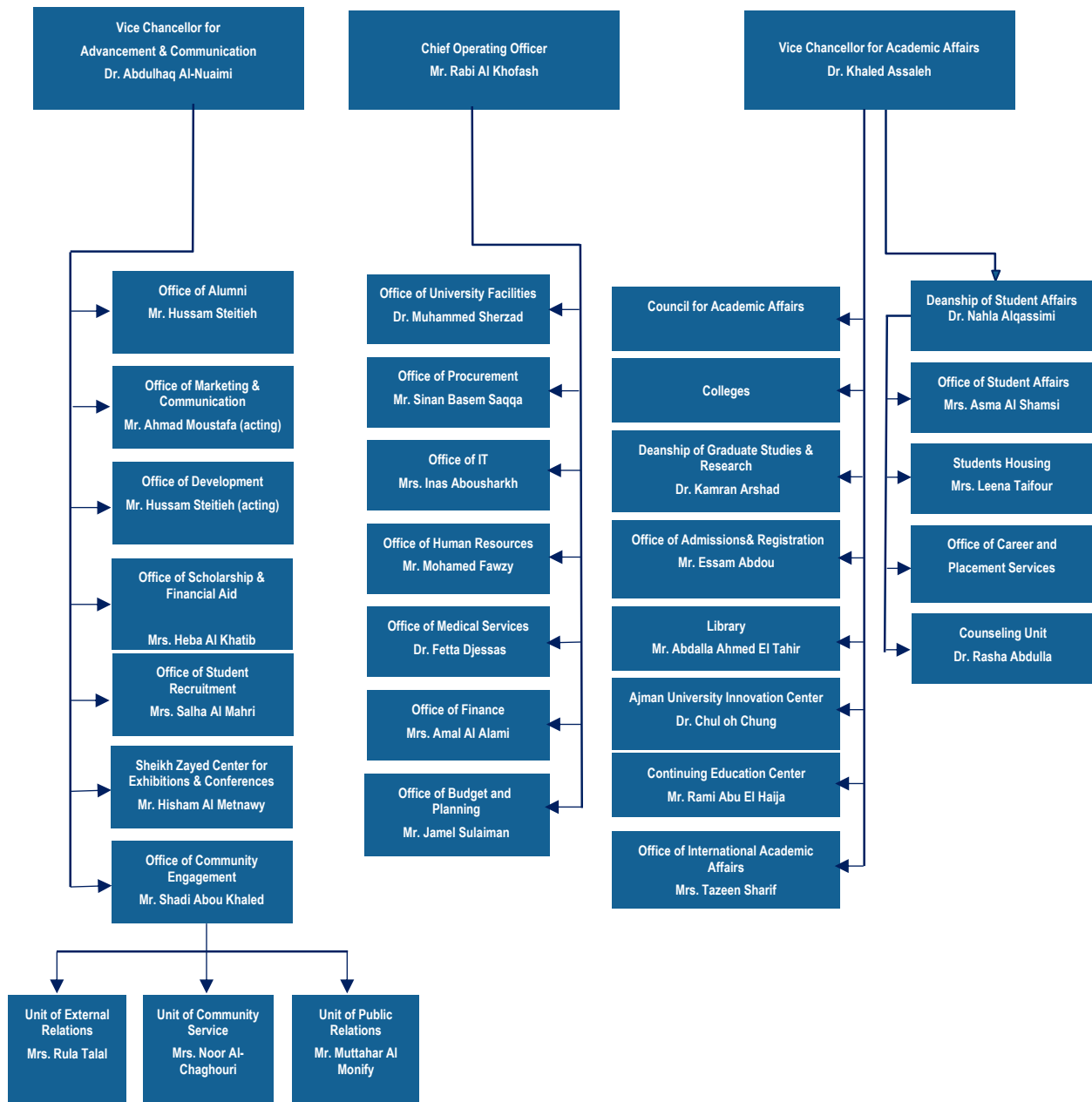
Ajman University top administrative structure consists of the Chancellor, the Chief Operating Officer (COO), and two Vice-Chancellor: the Vice-Chancellor for Academic Affairs (VCAA) and the Vice-Chancellor for Advancement & Communication (VCAC).

The organizational chart provides an overview of the University's administrative and academic units.



AU Organisation Chart





AU Organisation Chart (Cont.)

The Chancellor

The Chancellor is appointed by the Board of Trustees and is conferred with the authority and accountability to conduct effective decision-making and management of the University as set forth in AU Bylaws. The positions that report directly to the Chancellor are as follow: Vice Chancellor for Academic Affairs (VCAA); Vice Chancellor for Advancement and Communication (VCAC); Chief Operating Officer (COO); Chief of Staff (COS); Director of Fujairah Campus; 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 Admission 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 Affairs. Additionally, a number of standing committees provide recommendations to the office of the VCAA, supporting the effort to ensure shared governance. Membership typically includes representatives of colleges and administrative and service units.

The Vice-Chancellor for Advancement & Communication (VCAC)

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

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

The Chief Operating Officer (COO)

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

Chief of Staff (CoS)

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

Executive Director, OIPE

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

Director of Fujairah Campus

The Director of Fujairah Campus is responsible for operational matters of Fujairah Campus (FC). For the strategic and executive decisions related to Fujairah Campus, the Director of FC is required to obtain the approval of the Chancellor. The Director of FC is responsible for securing the smooth running of educational processes and for maintaining the stability of the services provided to FC students. Furthermore, the Campus Director is responsible for managing and developing the campus annual budget.



3. Standing Committees

Policy Name	STANDING COMMITTEES		
Policy Owner(s)	Vice Chancellor for Academic Affairs Chief Operating Officer Director, Institutional Research & Planning	Reviewed	Annually
Approved By	Chancellor	Approved Date	Jul. 2017

3.1. 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.

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)
- Director of Fujairah Campus (Member)
- Executive Director of OIPE (Member)
- All College Deans (Members)
- Dean of Graduates Studies and Research (Member)
- Dean of Student Affairs (Member)
- Deputy Deans from Fujairah Campus (Members)
- The Registrar (Member)

3.2. Curricular and Study Plans Committee (CSPC)

The Curricular and Study Plans Committee (CSPC) is mandated to ensure that curriculum development and review are consistent with the approved processes and are undertaken in full compliance with the educational policies of the University.

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 & Health Sciences (Members)
- Representatives from College of Dentistry (Members)
- Representatives from College Engineering (Members)
- Representatives from College of Business Administration (Members)
- Representatives from College of Information Technology (Members)
- Representatives from College of Education and Basic Sciences (Members)
- Representatives from College of Mass Communication and Humanities (Members)
- Representatives from College of Law (Members)

3.3. 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.

Terms of Reference

- Support the University's commitment to continuous improvement by establishing and implementing assessment means as an ongoing and integral part of AU culture with clear emphasis on quality in its programs and services;



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

Membership

- Executive Director, Office of Institutional Planning and Effectiveness (Head)
- Two senior faculty members appointed by the Chancellor (Co-Chairs)
- Dean of Student Affairs (Member)
- Chief of Staff from Chancellor Office (Member)
- Faculty representative from College of Engineering (Member)
- Faculty representative from College of Information Technology (Member)
- Faculty representative from College of Mass Communication and Humanities (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 Law (Member)
- Faculty representative from College of Education and Basic Sciences (Member)
- Faculty representative from the Unit of General Studies (Member)
- Representative from Office of Budget and Planning (Member)
- IT Manager (Member)
- Director, Office of Development (Member)
- Representative from Office of Institutional Planning and Effectiveness (Member)

3.4. Council for Graduate Studies & Research (CGSR)

The Council for Graduate Studies and Research (CGSR) has been established under the Deanship of Graduate Studies and Research (DGSR) with the mandate of developing and recommending policies and procedures for significantly enhancing the quality, relevance, volume, and impact of research carried out at AU and for enhancing the effectiveness of existing graduate programs and development of new graduate programs. It shall take all necessary steps to promote research and graduate studies at AU.

Terms of Reference

- To review and make recommendations in matters related to promoting excellence in graduate studies, research and scholarly work;
- Ensure consistency and compliance of all graduate programs with relevant policies;
- 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;
- 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;
- 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;
- Assist colleges in recruiting outstanding graduate students through graduate scholarships and awards from internal as well as external sources;
- 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;
- Cooperate with colleges in developing joint graduate programs with international academic institutions.

Membership

- Dean of Graduate Studies and Research (Chair)
- Deputy-Dean of Graduate Studies and Research, Fujairah Campus (Member)
- Heads of Colleges Research Committees (Members)

3.5. Planning and Budgeting Committee (PBC)

The Planning and Budgeting Committee (PBC) is responsible for the review of all policies and budgets, including but not limited to the operating budget, the capital budget, strategic plans, and prioritization processes. The Committee shall make recommendations to the COO regarding the development, implementation, and monitoring of these budgets, plans and prioritization processes with academic policy, as well as their alignment with the goals of the University.



Terms of Reference

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

Membership

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

3.6. Research Conferences Committee (RCC)

The main task of the Research Conferences Committee (RCC) is to make recommendations concerning participation of faculty members in academic conferences for the purpose of presenting their research papers. The role and functions of the RCC shall be in accordance with the AU Policy on Research Conferences.

Terms of Reference

- Review submitted conference papers along with the review reports of departmental ad-hoc committees and recommendations of the College Council;
- Ensure that AU policies mentioned in the “Policy on Research Conferences” are applied appropriately for participation of faculty in scientific conferences;
- Make recommendations to the Vice Chancellor for Academic Affairs on the participation of the concerned faculty member;
- Recommend participation of AU faculty as invited keynote speakers;
- Review and recommend changes, if needed, as and when required to do so by the Vice Chancellor for Academic Affairs.

Membership

- Dean, Graduate Studies and Research (Chair)
- Deputy-Dean, Graduate Studies and Research, Fujairah Campus (Member)
- Faculty representative from College of Business Administration (Member)
- Faculty representative from College of Mass Communication and Humanities (Member)
- Faculty representative from College of Dentistry (Member)
- Faculty representative from College of Pharmacy and Health Sciences (Member)

- Faculty representative from College of Engineering (Member)
- Faculty representative from College of IT (Member)

3.7. Research Ethics Committee (REC)

A Research Ethics Committee (REC) has been formed under the Deanship of Graduate Studies and Research (DGSR) to ensure that research work involving human or animal objects follows specified guidelines. The guidelines and procedures developed by the REC are in accordance with all applicable national and international standards. These policies and guidelines have been approved by AU's Council for Academic Affairs. The Dean of Graduate Studies and Research appoints the Head of REC after the approval of the Vice Chancellor for Academic Affairs.

All research work conducted at AU that requires ethical approval for research activities must obtain an approval letter from the REC before initiating research. This requirement is applicable to both funded and non-funded research projects.

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

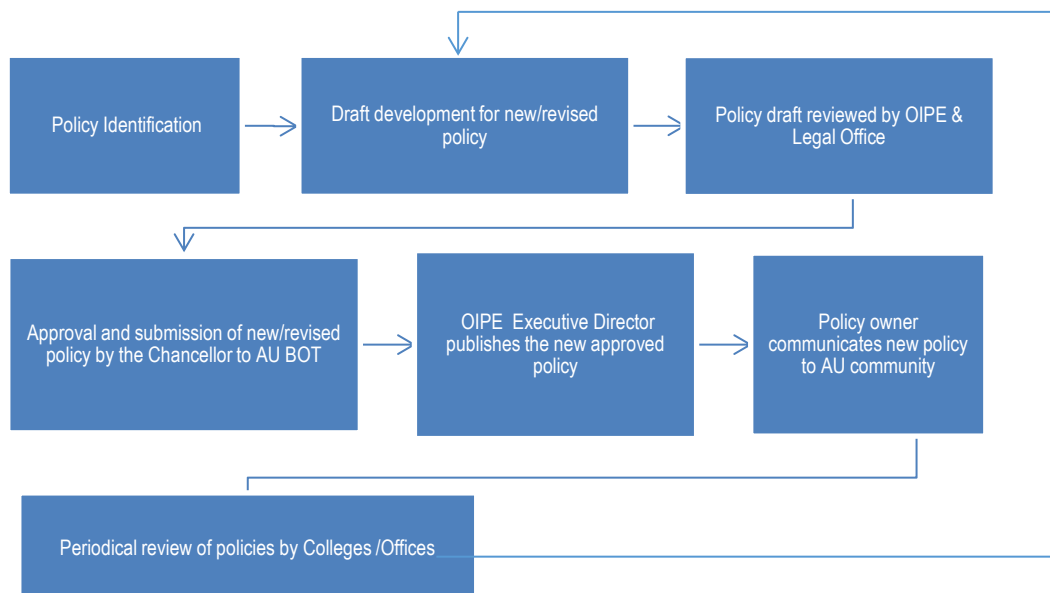
- Senior faculty member approved by the VCAA (Chair)
- Two faculty representatives from College of Pharmacy and Health Sciences (Members)
- Two faculty representatives from College of Dentistry (Members)
- Faculty representative from College of Dentistry – Fujairah Campus (Member)
- Faculty representative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

3.8. 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.

4. Procedures for development, review, approval and publishing of policies

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



Flowchart for policy development, review, approval and publication.

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

5. Multiple Campus Coordination Policy

Policy Name	MULTIPLE CAMPUS COORDINATION		
Policy Owner	Chancellor	Reviewed	Annually
Approved By	AU Board of Trustees	Approved Date	Feb. 2017

Ajman University (AU) offers its academic programs in two campuses in UAE; one in the Emirate of Ajman and the other in the Emirate of Fujairah. These two Emirates are about 150 Km apart. The former will be referred to as AC (Ajman Campus) and the latter as FC (Fujairah Campus). All programs offered by AU in both campuses are accredited by the Commission of Academic Accreditation (CAA), Ministry of Education.

Ajman University is committed to follow the Standards of the Commission of Academic Accreditation (CAA), Ministry of Education, to ensure that students attending either campus shall receive an equivalent educational experience and achieve the same learning outcomes. Accordingly, the governance structure, faculty and other personnel, services, and academic programs are all designed to provide equivalent educational experience and achievement of same learning outcomes for students at both campuses.

The Coordination Manual explains the coordination structure, policies and procedures for administrative and academic coordination, implementation mechanisms, and description of different committees formed to ensure compliance with this manual.

5.1. Policies and Procedures

5.1.1. Statement of Intent

Ajman University is committed to fulfilling its responsibilities as a multi-campus university. Its two campuses in Ajman and Fujairah have consistently followed a coordination policy that enables students at both campuses to receive equivalent educational experience and achieve the same learning outcomes.

5.1.2. Coordination Structure

The Chancellor of Ajman University is the highest academic and administrative authority at AU.

The Director of Fujairah Campus is responsible for operational matters of Fujairah Campus.

The Vice-Chancellor for Academic Affairs (VCAA) is responsible for academic affairs at both campuses. The VCAA coordinates with the College Deans, based in Ajman campus, regarding all academic matters. The College Deans, in turn, coordinate with respective Deputy-Deans stationed at Fujairah campus for academic matters.

The above-mentioned coordination structure along with well-defined policies and procedures and implementation mechanisms ensure that there is continual coordination between the two campuses in order to provide equivalent educational experience to students and achieve the same learning outcomes for students at two campuses.



5.1.3. Academic Support

1. The Council for Academic Affairs (CfAA) is the highest academic council in AU for discussing and approving all academic matters. The Vice Chancellor for Academic Affairs (VCAA) chairs this Council and it includes College Deans, stationed at Ajman campus, and Deputy-Deans, stationed at Fujairah campus. Any decisions or recommendations made by the Council are mandatory for both campuses.
2. Ajman campus shall assist Fujairah campus in recruiting qualified faculty and teaching staff. All decisions related to the appointment of faculty and teaching staff is a sole responsibility of the Dean. Within this responsibility, the Deputy Dean at Fujairah Campus is involved in the process of recruitment. The recruitment process is conducted in accordance with the procedures, rules and regulations in effect at AU. Faculty hiring committees shall include members from both Ajman and Fujairah campuses.
3. After consulting with the Deputy-Dean, the College Dean may recommend to the VCAA to transfer a faculty member from one campus to the other with the aim of achieving smooth-running of academic programs and achieving optimal performance at both campuses. The transfer will take place after written approval by the VCAA.
4. The Heads of Departments and Program Coordinators at AC, and the Deputy-Deans and Program Organizers at FC shall coordinate to ensure effective delivery of academic programs offered at Fujairah campus.
5. The AC Dean of Student Affairs and FC Deputy-Dean of Student Affairs shall coordinate with each other in order to implement similar co-curricular activities at the two campuses.
6. AC IT Manager and website developer shall coordinate with the FC IT Supervisor and website development coordinator in all matters related to Information and Communication Technologies (ICT), social media and all other IT related matters.
7. The Senior Executive Director of the Office of Institutional Planning and Effectiveness (OIPE) in Ajman campus and the OIPE Deputy Director in Fujairah campus shall coordinate with each other for all tasks related to institutional research, assessment, programs' effectiveness, and institutional planning.
8. The Dean of Graduate Studies and Research, stationed at Ajman campus, shall coordinate with the Deputy Dean of Graduate Studies and Research, stationed at Fujairah campus, to achieve the vision, mission, and goals of the Deanship of Graduate Studies and Research.
9. Ajman University shall award degree certificates to FC students who have satisfactorily completed the graduation requirements according to AU rules and regulations as approved by the CAA.
10. Intellectual property rights including copyrights, patents, and any other related rights in any material owned or produced by Ajman or Fujairah campus shall be the property of Ajman University.
11. Admission of students to academic programs offered by Ajman and Fujairah campuses shall follow the admission criteria as approved by the CAA for each individual program.
12. The Dean shall submit to the CAA the documents required for accreditation of new academic programs to be offered in both campuses, in consultation with the relevant FC Deputy-Dean in Fujairah campus. The title, structure, content and learning outcomes of the academic programs offered in both campuses must be the same.

13. Where an academic program already exists in both campuses, no separate application for re-accreditation is required. The title, content, delivery format and assessment of the common academic program shall be the same in both campuses in order to guarantee that the learning outcomes remain the same.
14. When a substantive change is to be introduced to an existing academic program in Ajman or Fujairah campus, the request of approval of amendment to the program will be submitted to the CAA by the Dean at Ajman campus, in consultation with the relevant FC Deputy-Dean.
15. As a multi-campus university, AU applies the same administrative rules and regulations in both campuses.
16. AC colleges shall ensure that all academic-related processes for collecting student feedback in Fujairah campus shall follow the same procedures as followed in Ajman campus.
17. Deans and heads of departments in AC shall schedule regular meetings with FC Deputy-Deans and Program Organizers (face-to-face meetings or via video conference).

5.1.4. Responsibility

Ajman campus has the responsibility to ensure that the University policies and procedures take into account the needs of Fujairah campus. It shall also provide necessary support for implementation of these policies and procedures at Fujairah campus.

5.1.5. Confidentiality

All AU personnel employed in Ajman and Fujairah campuses with privileged access to confidential information shall strictly observe the confidentiality requirement. Any correspondence or reports of a confidential nature, issued by either campus, shall not be made known to any other institution or person without prior written authorization from AU higher management.

5.2. Organizational Structure

The AU organizational structure for coordination management between two campuses is explained below.

5.2.1. Administrative Coordination

At the top of the organization chart, the Chancellor of Ajman University has the highest authority to make strategic and executive decisions. For such decisions related to Fujairah Campus, the Director of FC is required to obtain the approval of the Chancellor.

5.2.2. Academic Coordination

- The Vice-Chancellor for Academic Affairs (VCAA) is responsible for all matters related to academic affairs. The VCAA shall issue directives to the College Deans in the Ajman campus and the Deans, in turn, shall coordinate with their Deputy-Deans in Fujairah campus.
- The Council for Academic Affairs is chaired by the VCAA and discusses all academic matters, including academic coordination between the two campuses.
- The heads of departments in Ajman campus as well as the deputy-deans and program organizers at Fujairah campus shall monitor students' academic progress based on their academic records.



- By the end of each semester, the FC deputy dean shall submit a list of students who have completed the graduation requirements to the Office of Admission and Registration at Fujairah Campus for final approval.
- The College Dean in AC and deputy-dean in FC shall coordinate with each other for all faculty development programs conducted in FC.

5.2.3. Services Coordination

Services coordination is achieved through a Services Coordination Committee (SCC). The Committee shall hold two meetings each semester, the first at the beginning of the semester, and the second towards the end of the semester. The SCC comprises of:

- Libraries and information resources representatives
- Technology services representatives
- Quality assurance representatives.

1. Libraries and Information Resources

- The Libraries and Information Resources (LIR) Representatives are the Director of Library at Ajman campus and the Library Supervisor at Fujairah campus.
- The LIR Representatives ensure that learning resources are sufficient, up-to-date and available to faculty and students in both campuses.

2. Technology Services

1. The Technology Services Representatives (TSRs) are the IT Director, Website Developer, and Digital Marketing Officer at Ajman campus and the Supervisor of IT Services, Website Development Coordinator and Digital Marketing Coordinator at Fujairah campus.
2. The TSRs ensure that all electronic and paper-based learning resources available at Ajman and Fujairah campuses are accessible to all AU students.
3. The TSRs ensure that all IT resources in both campuses are up to date.
4. The TSRs ensure that the IT staff in both campuses are trained on all IT related equipment and services such as:
 - Communication networks and servers
 - IT services
 - Website development and digital marketing
 - Internet and e-learning
 - Admission and registration
 - HR system

3. Quality Assurance

- The Quality Assurance Representatives (QARs) are the Institutional Planning and Effectiveness (IPE) Executive Director at Ajman Campus and the Deputy Director of IPE Unit at Fujairah Campus.
- The QARs coordinate the evaluation and assessment of academic programs and curricula in accordance with AU quality assurance policies and procedures.
- The QARs coordinate the assessment and feedback data collection on academic advising and course evaluations at Ajman and Fujairah campus every semester.

- The QARs coordinate on all other institutional data collection, analysis and reporting.

5.2.4. Academic Coordination Committees

1. Council for Academic Affairs

Members: Ajman Campus

- College Deans
- Registrar
- Dean of Student Affairs
- Dean of Graduate Studies and Research
- Executive Director of Office of Institutional Planning and Effectiveness

Members: Fujairah Campus

- Deputy Deans of Colleges
- Deputy of Admission and Registration
- Deputy Dean of Student Affairs
- Deputy Dean of Graduate Studies and Research

2. Council for Graduate Studies and Research

Members: Ajman Campus

- Dean of Graduate Studies and Research
- Heads of College Research Committees

Members: Fujairah Campus

- Deputy Dean for Graduate Studies and Research

3. Study Plans and Curricula Committee

Representatives from Ajman and Fujairah campuses

4. Assessment and Evaluation Committee

Representatives from Ajman and Fujairah campuses.

5. Research Conferences Committee

Representatives from Ajman and Fujairah campuses

5.2.5. Services Coordination Committee

1. Libraries and Information Resources Representatives

- Ajman Campus
Library Director
- Fujairah Campus
Library Supervisor

2. Technology Services Representatives

- Ajman Campus
IT Director
Website Developer
Digital Marketing Officer
- Fujairah Campus
IT Supervisor



Website Development Coordinator

Digital Marketing Coordinator

3. Quality Assurance Representatives

- Ajman Campus

Executive Director of Office of Institutional Planning and Effectiveness

- Fujairah Campus

Institutional Research and Planning Officer

4. Human Resources Representatives

- Ajman Campus

Manager of Human Resources

- Fujairah Campus

Human Resources in-Charge

5.3. Role and Responsibilities of Course Coordinators

In order to ensure consistency of instruction at both campuses and even at the same campus for courses with multiple sections, Ajman University has developed a policy of appointing Course Coordinators. The role and responsibilities of the Course Coordinators are as follows:

1. Organize a meeting prior to the start of the course offering, either face-to-face or through video conference or through emails, to discuss the course syllabus, teaching and assessment methodologies, assignments and/or course projects, etc.
2. Coordinate the delivery of the course material at more or less the same pace.
3. Ensure that participating instructors have appropriate plans to achieve all course learning outcomes by the end of the semester.
4. Keep communication channels open among participating instructors to maintain consistency and quality of the course delivery.
5. Share progress and experience of all instructors teaching the same course.
6. Coordinate tasks associated with final examination.
7. In case of labs, studios, clinics, etc. ensure that students have similar practical experience.
8. Report any problems faced in course coordination to the HOD.
9. Facilitate professional development of new faculty members teaching the same course.
10. At the end of the semester, review the level of course coordination and utilize the feedback received from participating course instructors and students for continuous improvement in course coordination.

B. Services and Resources Policies



جامعة عجمان
AJMAN UNIVERSITY



1. Career and Placement Services Policy

Policy Name	CAREER AND PLACEMENT SERVICES		
Policy Owner	Manager, Office of Career & Placement Services	Reviewed	Annually
Approved By	Deanship of Student Affairs, Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

The main purpose of this policy is to train senior students and graduates to explore and attain their career goals, connect them to information resources related to job market in the UAE and the region so that they can become more knowledgeable about jobs and occupations, and assist them to become active managers of their career path and lifelong learners.

1.1. Definitions

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

- **Career and Placement Services Office:** Career and Placement Services Office at AU was established to cater for the career counseling needs of students and alumni alike. Organizationally, the office works under the auspices of Deanship of Student 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 Career and Placement Services Office supports AU's mission in providing quality services to its students and community by enhancing their employability potential as well as by liaising with prospective employers. This is done in coordination with the Continuing Education Center (CEC) at AU.
- **Approving body:** The relevant body that has authority to approve the 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 of how work is organized in order to achieve the policy.

1.2. Statement

AU Career and Placement Services Office is set to achieve the following objectives:

- To assist students and graduates to make decisions, setting goals and making plans as far as career is concerned.
- To assist students upon entry in selecting course offerings most relevant to their career aspirations and interests.

- To raise students' awareness of possible options for planning post-graduation phase.
- To direct students and graduates to supplementary skills necessary to meet evolving job requirements.
- To signpost students and graduates to resources available for job search.
- To assist students and graduates in acquiring skills necessary for effective job search.
- To post job ads electronically and on signboards campus-wide.
- To provide AU with job-market information to assist in academic planning.
- To establish relations with employers on a win-win basis whereby the CPS at AU will help in providing necessary logistics for on-campus recruitment or for CV screening processes.
- To liaise with businesses, government and organizations for possible internship, voluntary or part-time opportunities for students and graduates.
- To establish a plan for assessing the performance of career services and activities.

1.3. Content and Guidelines

- The CPS is AU's body responsible for achieving the objective of this policy by drawing on a developmental approach to career counseling. It recognizes the evolving nature of the present day job-market and acts accordingly. Thus, the CPS is set to be a mechanism to provide support to AU students and graduates in establishing career directions. This can be done through assisting them to identify and learn the skills by which they can be more effective in planning for and choosing jobs, and in making successful transition. Additionally, the increasing fragmentation of career traditional model has brought about the need for life-long learning skills and the ability to make well-informed decision regarding one's career change.
- From this perspective the CPS is planning to develop a guidance curricula specifically designed to address main issues in matters related to careers. Possible topics will include decision-making process, personality analysis, values and attitudes, career planning, training options available nationally and internationally, job search techniques and resources, among others. The list of topics is subject to consultation with Deans and Heads of departments in order to meet concerns and specific needs of students and graduates of different academic programs offered at the University.
- The career curricula program will be two-fold; one is destined to student at pre-entry level and is hosted in the College of University Requirements and Academic Counseling. It is conducted by a faculty, who assists pre-entry students in making an informed decision about the right academic program that suits their professional ambitions and interests. The second program will be hosted at the CPS and it will be destined to junior, graduating students as well as Alumni. Particular focus will be on matters linked to career decision making, supplementary skill development, job search techniques, resume and application letter writing, interviewing skills, planning and so forth. The delivery of some lectures can be devolved to former AU graduates or to people from the business circles who can enlighten students about their experience, talk about the existing career opportunities and inform them about the most sought-after skills in the market.
- These activities will be structured following two distinct ways: through group sessions or through individual or small group settings. Other measurement tools, like questionnaires, planned interviews, an aided-computer matching program and other guidance software kits will be made available to supplement the lecturing content.



- The second main area of the CPS intervention relates to career placement and more particularly employer liaison. It will include such activities as organizing selection interviews on campus, arranging employer presentations, organizing careers fairs and collecting, posting and disseminating vacancy information.
- Other plans involve encouraging entrepreneurial initiatives and self-employment. For this, the CPS in collaboration with the AU Alumni Office has in plan to invite on regular basis financial institutions that are willing to sponsor AU graduates' start-ups.
- For assessment of the performance of the CSP towards achieving the objectives of the career service policy, the office has developed a mechanism for continuously assessing its performance. For this, the CPS prepares annual reports destined to the University top management and to its direct community of students, graduate and its employers' network. Other tools of self-assessment involve keeping statistical records on attendance, student feedback, and evaluation sheets subsequent to counseling or placement activities. The CPS aspires to cooperate with AU's Quality Assurance and Institutional Research Unit (QAIRU) for more measurable benchmarks against which the CPS can evaluate its performance and eventually plan.

2. Student Career Advancement Program Policy

Policy Name	STUDENT CAREER ADVANCEMENT PROGRAM		
Policy Owner	Manager, Office of Career & Placement Services	Reviewed	Annually
Approved By	Deanship of Student Affairs, Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

This document sets out the University's policy, which regulates AU career advancement programs within the University for all enrolled university students and graduates. 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.

2.1. 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.

2.2. Statement

- All training opportunities will be announced by the Career and Placement Services.
- Training opportunities priority will be given to UAE national students / Graduate Trainee Students and then to other AU Trainee Students.
- Training requests should be submitted by the student based on an advancement opportunities offered by the Line Managers.
- Line Managers should assign annual budget for student training purposes.
- All students will be required to complete a selection procedure, which will assess them against a range of specified criteria. The selection process is based primarily on several carefully considered factors such as HR assessment, student records, and Dean's feedback of capability to assume responsibility, experience, knowledge, skills, related qualifications, and career interests. These factors will be considered against the availability of opportunities and the qualifications of other students.
- The maximum hours a Student may work during the academic year is four hours per day.
- The maximum hours a Graduate Trainee Student may work during the academic year is eight hours per day.



- AU may grant a lump sum amount for the students as an appreciation incentive for the period of the training.
- Enrolled students will receive AED 23 per hour.
- Graduate students (Except Engineering Graduates) will receive an AED 30 per hour.
- Engineering Graduate students will receive an AED 42.6 per hour.

2.3. Procedures

- At the beginning of each semester, the Career and Placement Services will send a memo to all AU departments who have Student career advancement opportunities.
- Line Managers must complete the Student Career Advancement Requisition Form and submit it to the Career and Placement Services.
- After receiving the feedback from concerned Line Managers, Career and Placement Services will announce to all Students about the training opportunities available within AU.
- The Career and Placement Services will liaise with AU Alumni Association to announce all career advancement opportunities available to AU fresh graduates.
- After receiving the request(s) from the Line Managers, the Career and Placement Services will share appropriate student database with the requesting department.
- Line Managers may seek the support of the Human Resources Department expertise to conduct a panel interview, in order to select the most appropriate student for the training program.
- The Line Manager after selecting the successful student will inform the Career and Placement Services Office officially about the decision and the period of the advancement program.
- In order to encourage the students to take the advancement program seriously and achieve its objectives, the duty of the student should be recorded using an attendance sheet as record log.
- The Line Manager is responsible for sending the program report along with the attendance sheet to the Career and Placement Services Office for review and then to be sent to finance department for the incentive payment on a monthly basis.
- By the end of the entire advancement program, the Line Manager should officially notify the Career and Placement Services office and send all required reports.
- Each Trainee should sign a training contract in the Career and Placement Services Office.
- Career and Placement Services Office creates a fingerprint for every trainee.
- Career and Placement Services Office prepares the report of monthly rewards and sends it to the Financial Department for auditing and processing.
- The Career and Placement Services shall issue the Trainee an experience certificate for the official attended advancement program period.

2.4. Training Relationship

- Career Advancement opportunity does not guarantee any future employment in AU.
- Trainee Student may be appointed for any portion of the academic year.

- A department may extend the training period by a mutual agreement with the Career and Placement Services Office.
- The trainee must have a valid residency visa as an essential requirement for being considered in the program.

2.5. Grievances

Trainee Student and the Line Manager are encouraged to discuss any training obstacles before commencing disciplinary action or a formal grievance. The Career and Placement Services Office staff are always available to assist both students and Line Managers in resolving training-related issues. Should such informal methods of resolution fail, a formal meeting must be conducted by the Career and Placement Services Office Manager with the student to find ways to solve the matter.

2.6. 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.



3. Residential Life Policy

Policy Name	RESIDENTIAL LIFE		
Policy Owner	Manager, Office of Students Housing	Reviewed	Annually
Approved By	Deanship of Student Affairs, Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

This policy sets the basic rules and disciplines needed to provide the University students, males and females, with reliable housing facilities suitable for their needs and expectations away from their families. This policy lays the foundation for the University housing supervision and monitoring, defining rules and responsibilities of each person involved in housing administration.

3.1. Definitions

University: Ajman University (AU)

Vice Chancellor: Vice Chancellor for Academic Affairs and policy endorser.

Semester: Semester according to the University annual academic calendar.

Student: Student, males or females, residing in a University housing facility.

Participants: Students, males and females, utilizing the University housing facilities.

University Housing Application Form: Application form filled by students to reserve a University housing space. The form includes all the rules and regulations of University housing reservation and withdrawal.

Reservation: Service provided by the University Housing Office to define the specifications of required room before the beginning of the semester.

Withdrawal: Withdrawal from the University Housing after acceptance of participant.

Service Fees: The fees defined by the University Housing Administration in return to University housing service.

Relatives: The individuals whom students are allowed to leave the University residence with during ordinary visiting times.

3.2. Supervision of University Housing

- The University Housing Office manages the student housing affairs and sets out the relevant rules and regulations, according to AU bylaws. The Student Accommodation Office shall keep records of all students residing in the University housing facilities, including students' personal information, their credentials and disciplinary history related to housing violations.
- The Office of Student Affairs shall be the supervising and regulatory authority responsible for AU University Hostels.

3.3. Service Beneficiaries

- Any student who has an AU ID may be admitted to AU hostels according to room availability, given that the student accepts the hostel rules of occupancy.
- Students transferred from other universities may be admitted to AU hostels, based on the decision of the Student Housing Manager.
- Students are considered admitted to AU hostels only after they undergo a medical checkup at AU Medical Unit. The students have to prove they do not have any public-health related illnesses and are psychologically and socially fit.

3.4. Housing Reservation

- The housing reservation form is filled out after the student is accepted by Ajman University. The form includes all the rules and regulations pertaining to reservation and withdrawal from the university hostels. By signing the application form, students accept AU Housing rules of occupancy.
- Senior students have to fill out new application forms before the end of each semester; otherwise they may lose their right to stay in AU housing facilities.
- A student may lose the right to stay AU housing facilities, in case a disciplinary decision by the Student Disciplinary Committee is issued in this respect.

3.5. Fees of University Housing

- University Housing fees are set out by AU Chancellor, based on a recommendation from the Vice Chancellor and the Student Housing Office
- To apply for AU student accommodation, students must fill out and sign the reservation form, pay the reservation fee and commit to pay the remaining fees in accordance with the rules set out by AU Finance Office.
- The University Housing Reservation Form includes the dates of reservation and withdrawal along with a calendar for reservation and withdrawal rules.
- It is strictly forbidden to make cash payment to employees of the Student Housing Office. No billing receipts are accepted except those issued by AU Finance Office. In the case of a daily lease for non-AU students, payment should be made at the student housing facility and the money shall be transferred to the Finance Office.
- Housing reservation fees are specific to the semester booked for and cannot be transferred to other semesters. It is also not possible to transfer fees from one student to another.
- For students enrolled at Ajman University, they have to pay the accommodation fee, along with the tuition fees using their university ID. Interns and CEC students are required to pay 50% of the room fee in advance and should complete the payment in the middle of their studies. Non-AU students are required to pay full accommodation fees before they enter AU student housing facilities.
- All AU Student Housing beneficiaries, on semester-based lease, have to pay an insurance, defined in the Student Housing Fee List. The insurance amount is returned when the student withdraws from the housing facility.



- The financial rules governing AU Student Housing Facilities are subject to the rules and regulations issued by AU Finance Office.

3.6. Daily Use of University Housing

- The Student Housing Office has the authority to apply daily-based accommodation as appropriate according to availability.as follows:
 - The students who lived in previous semester.
 - Ajman University students who attending for academic reasons.
- The priority for housing services shall be given to semester applicants followed by daily applicants.

3.7. Student Housing Services

Ajman University provides its students with an array of services, Among these services is the University Housing which the Student Housing Office is endowed with running and managing. As such, AU Housing Office strives to combine all the elements necessary to guarantee that any and every student is provided with quality housing services capable of ensuring them an enjoyable stay and a healthy environment for their academic achievement.

- i. Providing full-furnished rooms.
- ii. Cleaning and maintenance services.
- iii. Social and administrative supervision through-out the day.
- iv. Shuttle buses between the Accommodation and the university.
- v. Security regulation.
- vi. Medical services.
- vii. Group trips for shopping and for activities.
- viii. Free WIFI.

3.8. University Residence Cards

- After being admitted into the University Housing, the Office of Admission and Registration shall provide the student with a University Housing Card, in a color different from that of the student ID card, indicating that he/she is using the University Housing.
- When female student entering the hostel , the internal hostel administration grants the student a pass card through the university housing gate with the picture of the student and all the information that is used by her to pass to the university and automatically record all her movements.
- The University card or the pass card is personal and should not be used by others, and the student who loses his/her card has to notify the Student Accommodation Office.

3.9. Student Right to Change Room

- The University Housing room assignment goes according to the rules set by the Student Accommodation Office, taking the student preference into consideration, whenever possible. The Administration shall

make available the type of the required room, but not a specific room number. The student should stay in the room assigned to him/her and is not allowed to sleep in another room, prior to filling a specific form, available with the housing supervisor, to transfer to the other room. The student's choice shall be taken into consideration, given the availability of the room he/she prefers

- Housing management takes into consideration students' desire to identifying the occupants to share the room with them as available.
- Not allowed for the student to stay outside the room allotted to him.

3.10. Absence and Sleeping outside the University Residence

- Students have to obtain a written permit from their official guardians to sleep outside the University residence. The University Housing supervisor must keep this written permit in the student's follow-up file.
- Any student have an exit permit from her guardian may obtain a temporary exit permit for the visit or overnight stay outside the residence according to the data approved by the student's guardian. The permits will be monitored electronically by the internal hostel administration.
- In case of the student's absence from the University residence without a written permit, the guardian is informed and the student receives a warning. If the student repeats this conduct, he/she will be asked to appear in front of the Student Disciplinary Committee, and the committee's decision is implemented.
- Residents must enter and exit the Residence through the revolving gate using the electronic card. The residents must not leave the premise without their own card. In case the card is lost, please contact the reception desk to request a replacement.

3.11. Leaving the University Residence

- The University Housing fees cover the period of the whole semester, according to the academic year calendar at AU. The University Housing shall not receive students between semesters, unless the student proves that he/she has academic duties to achieve during this period of time. In all cases, residence fees during this period are calculated on a daily basis, according to the rules and regulations of the Student Accommodation Office.
- At the end of the academic year, it is possible for students who have already booked for the next semester to hand their personal belongings in a bag or a closed box to the Student Accommodation Office to be kept till the beginning of the new semester.
- The Student Accommodation Office reserve the right not to keep in its possession the student's personal belonging, if he/she fails to return to the University Housing within one months of his/her last leave.
- Students who wish to leave the University Housing have to submit, in person or through regular mail, a written letter to the Student Accommodation Office, taking into consideration the timetable for reservation and withdrawal from the University Housing.
- In case the student like to withdraw from hostel, he must hand over the room content, which granted, before received the checkout form.
- After completing the checkout procedures, the student should submit the clearance form to the financial office to complete the financial procedures.



3.12. The Night Attendance (Female Only)

- All residents are required to complete their evening check-in before 11 p.m. using the fingerprint device in each floor. Failing to do so will subject the resident to liability.

3.13. General Instructions for University Housing Students

- Students admitted to the University Housing should maintain straight behavior in lines with the Islamic norms and local traditions of the UAE Society. Students should maintain civilized behavior and take care of the University facilities and properties, as well as the belongings of their fellow roommates.
- University Housing students must treat each other as brothers and sisters. They should rise above minor disagreements and devote themselves to studying and academic achievement. Students are encouraged to benefit from the cultural, sport and social activities organized by the Office of Student Affairs and the Student Accommodation Office.
- Female students' permits for leaving the University Housing will be according to the forms approved by their guardians. No changes are permitted without a new approval of the female student's guardian.
- The female student's permit sheet shall include the names of relatives allowed to visit the student. The visits are arranged according to the rules and regulations of the Student Accommodation Office and at the places designated for visits.
- The female student's guardian is identified during housing application, in which his/her name and address are written. The female student guardian must be a first-degree relative.

3.14. Responsibilities of University Housing Student

- A student using the University Housing receives a furnished room, by signing on a special form to agree that he/she is fully responsible for the room content unless he/she has signed the checkout from the University Housing office.

3.15. Duties of Resident Students

- Submit all required documents and correct data for internal Student Accommodation Office
- Keeping the room clean, good usage of the housing facilities, respecting time schedules and norms of good conduct, including showing in the lobby and visit areas in suitable attire.
- Taking care of personal and valuable belongings, as the Student Accommodation Office shall not be responsible for their loss.
- Avoiding misuse of electrical devices belonging to the University Housing Department or others. Turning off the light and AC devices when leaving the room.
- Keeping quiet and calm and avoiding using stereos or gathering in groups after 10 pm.
- Observing rational use of water and electricity.
- Behaving well with the University Housing employees and reporting complaints to the housing supervisors.

- Following the scheduled time for attending the residence facility no later than 11 pm for male students and 9 pm for female students, except for emergency situations accepted by the housing supervisor. When a female student enters the University Housing with a relative, the relationship of the student to the relative must be checked.
- Night attendance- for female student.

3.16. Student Relative

- The Student Accommodation Office may accommodate the student's first-degree relatives in single rooms only, according to availability, on a daily basis once within the semester for three days only for free, otherwise the financial rules and regulation will applied according to availability.
- Students are allowed to meet visitors and relatives in designated visit areas during the visit's scheduled times.

3.17. Housing Prohibitions

- Doing acts not in lines with good manners, Islamic behavior and in contradiction with the values and traditions of the UAE society.
- Behaving in a way not in line with the University values, rules and regulations.
- Abusing the use of the University Housing properties.
- Possession of weapons or explosives.
- Using magazines or video tapes including photographs or materials not in compliance with the general norms.
- Using kettles and other water boilers, working with gas or electricity, which can cause fires inside rooms.
- Bringing living animals or birds to the University Housing facility, without an officially written permission.
- Displaying any posters or photographs, or writing and drawing on walls or furniture, or misusing any University Housing.
- Bringing children to the University Housing facilities.
- Any act not allowed by the Student Accommodation Office.
- Smoking cigarettes or Shisha inside rooms.
- Using incense burners and candles.
- Misusing regular cameras and mobile phone cameras in a way, which violates the privacy of fellow students.

3.18. Complaints

- Students have the right to complain about misconduct, mistreatment, or abuse of the rules and regulations by the housing employees, or companies or administrations dealing with the Deanship of student affairs, to the University Housing office, which shall investigate the matter and bring violators before the University Disciplinary Committees.



- The Deanship of Student Affairs is the supervising body overlooking the proper and transparent implementation of the Student Accommodation rules and regulations.

3.19. Disciplinary System of the University Housing Students

- All students residing in AU Student Accommodation facilities shall enjoy responsible freedom. On the other hand, students failing to abide by the Student Accommodation rules and regulations may be subject to disciplinary penalties.
- Without prejudice to the regulations of the students' affairs and the provisions thereof concerning the conduct of the conduct, disciplinary action shall be deemed to be a violation of the laws, regulations, instructions and customs of the university or to perform any act prohibited by virtue of these regulations or other regulations or instructions emanating from them.
- Students' violations of the Student Accommodation rules and regulations are filed in a preliminary report to the Student Accommodation Office within 24 hours to conduct an inquiry and issue the appropriate penalty. The Student Accommodation Office may decide a violating student should show before the Student Disciplinary Committee.
- All students in the University Housing are required to observe the disciplinary rules of the Office of Student Affairs. Violating students of the University Housing regulations shall be held responsible for the terms of this policy, all other rules and regulations stemming from it.

3.20. Penalties

- Students who violate the Student Accommodation rules and regulations are subject to one of the following penalties:
 1. Verbal warning and signing of a commitment
 2. First written warning
 3. Second written warning, with the guardian being notified
- If the violation is repeated, the student shall be referred to the Student Disciplinary Committee.
- The above penalties shall be implemented only after a written investigation with the student is conducted and after hearing his/her defense. However, if the student fails to appear before the investigation without any acceptable justification after receiving a written notification, he/she will lose his/her right to defend himself/herself and his/her violation shall be processed in his/her absence or as the Student Disciplinary Committee may see fit.

3.21. Implementing Penalties

- Violations 1-3 shall be implemented by the Student Accommodation Office.
- The Student Disciplinary Committee has the right to decide any of the penalties described in 1.23.
- The penalties decided in 1.23 are final. In case of dismissal from the University, the student may appeal to the University Chancellor within a week from receiving the written decision of the Student Disciplinary Committee. The decision of the University Chancellor shall be final.

4. Health Services Policy

Policy Name	HEALTH SERVICES		
Policy Owner	Manager, Office of Medical Services	Reviewed	Annually
Approved By	Chief Operating Officer	Approved Date	Jul. 2017

Ajman University (AU) is proud to have high quality health services available to its students. For convenience and easy access, the Medical Clinics are located at J1 and J2 buildings. The Medical Clinics are staffed with highly qualified practitioners and support staff to provide complete services compatible with primary care offices.

The University Medical Clinics seek to compliment the academic mission of AU and are dedicated to providing educational, supportive, consultative healthcare services to students, staff, college and eligible dependents. In doing so, the Medical Clinics strive to make the campus a healthy and safe place to study, work and live.

4.1. Purpose

- Provide primary healthcare to students, faculty, staff and eligible dependents.
- Provide emergency healthcare to Residential Hall and campus residents after working hours, at weekends and on holidays.
- Support the integration of University services and provide a healthy atmosphere to accomplish the University objectives of a disease-free community.
- Provide high quality integrated health services in a timely manner, providing complete customer satisfaction.

4.2. Statement

- a. The University, as an employer, is committed to providing and maintaining a healthy and safe working environment that promotes wellbeing for all its employees, students and any other people who may be affected by its activities. The ultimate responsibility for ensuring implementation of this Policy lies with the University Office of Medical Services.

University Office of Medical Services is responsible for ensuring compliance with the University Health Services Policy within their areas of control and are required to report annually on their health and safety action plans. They have a key role in encouraging a positive attitude to health and safety through appropriate management arrangements.

All staff and students have a responsibility to promote a healthy and safe working environment to safeguard their own health that of their colleagues, and are required abiding by rules and requirements made under the authority of this policy.

- b. This Policy applies to all premises and activities within the control of the University.
- c. This Policy has the following objectives:
 - to comply with the requirements of relevant legislation and current good practice;



- to identify significant hazards (the potential for harm), assess risks (the likelihood of that harm being realized) from activities involving those hazards and manage those risks;
- We Comply with **safety and health standards** and **regulations** issued and enforced by:
 - **UAE Ministry of Health** and,
 - **OSHA***-approved international guidelines (**OSHA***: **O**ccupational **S**afety and **H**ealth Administration, USA)

Regarding Personal Safety Guidelines (PPE), First Aids Kits, First Aid Emergencies Standards, Items Sterilization, Workplace and environment Safety, Occupational Safety and Health Standards, Hazardous Waste Operations...

- to promote a positive attitude to health and wellbeing at the University amongst all staff and students;
- to ensure that employees, students and others are adequately informed of the relevant identified risks;
- to ensure that employees, students and others receive appropriate instruction, training and supervision;
- to ensure that staff and students are competent to deal with the risks they encounter;
- to consult widely with staff and students and with employees' representatives on health matters;
- ensure that this documentation and supporting information is made accessible, primarily through the University's web pages and at induction for staff;
- to make arrangements for co-ordination and co-operation with other employers;
- to monitor actively the management of risks to health;
- to review the effectiveness of health risk management and where appropriate to implement improvements;
- to provide expert occupational health and safety advisory services.

d. Immunization policy for AU Students

All students are required to have a complete immunization record at registration time.

Any special case regarding immunizations is discussed with the student individually.

- **Tetanus:**
Students are required to have a Tetanus immunization (TD or Tdap) every 10 years.
- **Measles, Mumps and Rubella:**
Students must show documentation of two (02) MMR vaccinations or documentation of positive IgG titers for measles, mumps, and rubella.
- **Varicella:**
Students must document month and year of disease, show proof of chicken-pox vaccination dates or documentation of a positive Varicella IgG titer. All School of Medicine Students must be tittered.
- **Hepatitis B:**
Students must show documentation of three (03) doses of Hepatitis B vaccine or a positive Hepatitis B Surface Antibody. All College of Dentistry Students must show evidence of a positive Hepatitis B Surface Antibody.
- **TB skin testing:** All students are required to receive an annual TB skin test.

Vaccinations are under the policy of Ministry of Health/ Preventive Medicine.UAE.

e. Duties and responsibilities

The Medical Services Administration provides the following primary healthcare, within available capabilities, through its clinics:

- Round-the-clock services for males and females
- General Clinics: primary healthcare, treatment, preventative medicine and health education on common diseases through the general practitioners to the University community;
- Nursing: comprehensive nursing care and services, including routine and emergency cases, recording patient details and providing treatment;
- Reception: receiving patients, preparing the patient files and records, recording personal data, preparing daily, monthly and annual statistics;
- Referral System: referring urgent cases to hospital specialists;
- Medical Insurance work for our staff members and their dependents
- Following up chronic cases and coordinating referrals to hospital specialists if necessary;
- Approving medical checkups for new students done in MOH facilities.

f. Medical units

There is a medical unit on each of the University's campuses, as well as in the student hostels. The medical units ensure that a healthy environment is maintained in all university premises, and provides students with the following medical services:

- Medical examinations for new students done in MOH preventive medicine with delivery of medical certificates showing that the student is fit for studying and free of infectious diseases, approved by AU medical clinics;
- Examination and prescription treatment as appropriate;
- Emergency treatment;
- Medical supervision of sporting and social activities;
- Raising health awareness among students;
- Organizing seminars on medical issues for the benefit of students;
- First-Aid training;
- Checking medical certificates and advising on medical-based student excuses according to the University policy given to every new student during registration time titled **“Announcement to New Students”**. This announcement explains that:
 - Students who miss lectures or exams for medical reasons have to present their medical reports in the University clinics within 48 hours from the end of their sick leaves. It should be the original sick leave (not copy or fax).
 - Medical certificates will be approved by the University doctors' decision.
 - During the exams, sick leaves should be issued from the University clinics or hospitals.
- Regarding sick leaves for staff members, every employee should have the AU medical approval stamp before submitting it to HR.
- All employees benefit from Ajman university medical insurance, which allow them to



consult in most hospitals, and medical clinics across the country.

- Our medical center in AU provides the same services for employees under the coverage of the insurance to facilitate the access to the medical care in the working place Free of charges.
- Some of the many services we offer at the University Medical Center:
 - Emergency First Aid, daily consultations, visits for illnesses or injuries, minor procedures, Au student's activities, health awareness sessions: Diabetes, Smoking, weight management, psychological support...

5. Information Resources Policy

Policy Name	INFORMATION RESOURCES		
Policy Owner	Manager, Library	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

5.1. 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.

5.2. 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.

5.3. Budget

AU Library follows the Association of College and Research Libraries (ACRL) Standards published in June 2004. The Library Manager prepares, justifies and administers the library budget that is appropriate to the library's objectives. The budget is planned to meet the reasonable expectations of library users when balanced against other institutional needs. The library utilizes its financial resources efficiently and effectively. The library Manager has the authority to distribute funds and initiate expenditures within the library budget and in accordance with AU's institutional policy. The budget supports appropriate levels of standing. The Library has a separate identifiable annual budget figures. The budget is now fully assigned to the Library. The budget is allocated to the Library with accountability and responsibility vested in the Library Manager who can administer it more efficiently and thus enrich the library's collection and expand its resources.

The Library is engaged in implementing a plan that will lead to a sound fiscal future. It will show the magnitude of responsive services the Library provide to the AU community in relation to level of funding it receives. The plan will also allocate money for library and staff development, which includes but not limited to workshops, conferences, as well as formal and informal training.

5.4. Access

AU Library follows the ACRL Standards in that access to library resources is provided online in a timely and orderly fashion. Library collections and the catalog for accessing them are organized according to standards. A central catalog of library resources provides access for multiple concurrent users and clearly indicates all resources. Hours of physical access to the Library are reasonable and convenient for the two-genders and separate users. The hours are printed in this document (see page 19) and posted on its Web site. Reference and other special assistance are available at times when the Library is open. Onsite access to The Library is provided in a timely and orderly fashion. Non-print resources are accessible anytime anywhere. The Library and the catalog for accessing its resources are organized using the AACR2 and the LCC. Online access to the Library's OPAC and e-resources is encouraged. Students as well as faculty are trained on how to access these resources from their labs and offices.

5.5. AU Library

AU library is housed in the first floor of Sheikh Zayed Centre for Conferences & Exhibitions in Ajman Al- Jurf campus. The library is open to the entire university community. There is another branch in Al-Fujairah campus.

5.5.1. 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.

5.5.2. Electronic Resources (ER)

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 & Oral Sciences Source, Green FILE & Library, Information Science & 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 & Elsevier (ScienceDirect 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.

5.5.3. 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 buildings provide well-planned, secure, and sufficient space to meet the immediate and perceived needs of staff and users.



5.5.4. 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.

5.6. Services

The library staff is available to assist students and faculty or other individuals or groups on using the library and its resources effectively.

5.6.1. 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.

5.6.2. 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.

5.6.3. Photocopying

AU libraries provide photocopying services that governed by Intellectual Property Law Regulations for print materials to all library users.

5.6.4. Security System

The library buildings are 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.

5.7. 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 Funds. 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.

5.7.1. 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) & Library (2).
- Some material is relegated to store. Criteria for relegation to store are defined in section 3.3 of this document.

5.7.2. 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.

5.7.3. Selection responsibilities and criteria

- Final decisions on the purchase and cancellation of all information materials rest with the Manager of AU Library. However, the selection of material relies on a close and dynamic partnership between the Colleges and Academic Support Teams.
- College Library Representatives, Library Committees or Subject Advisors are responsible for selecting resources purchased from the Information Resource Funds. Only recurrent expenditure, such as, for example, journal subscriptions, must be authorized by the Deans of Colleges or Heads of Departments except where a Library Representative has been delegated to do so.
- Responsibility for purchases from the Colleges Funds lies with the designated staff from AU Library Academic Support Teams. Suggestions from academic colleagues and students are welcome. The University's Procurement Office must be consulted before any order can be placed.
- Selection of material is expected to be made in the light of the collection development principles and funding arrangements described above and according to a number of selection criteria, including:
 - *Suitability of content, intellectual level and quality of the scholarship:* the materials selected must be relevant to the teaching and research being currently carried out at the University;
 - *Currency of information:* this is especially important in disciplines where information dates rapidly;
 - *Suitability of format:* library materials may be acquired in a wide variety of formats; when more than one format is available for the same material (e.g. print and web access, microform or CD-ROM), criteria for choosing which to acquire include:
 - Ease of access and use (including quality of user interface, when relevant, for all users, including users with disabilities);
 - Licensing conditions and authentication method for e-resources;
 - Storage space required;
 - Comparative costs;

- Ease of reproduction.
- AU Library is moving from print to electronic formats wherever possible. As is the case for all available formats, electronic resources will be preferred when there is a significant gain in terms of accessibility and ease of use in relation to the costs involved. However, there are selection criteria and procedures that are specific to electronic resources, namely:
 - Comparing contents to assess whether the electronic version is at least as complete as the print or has enhancements to the print (e.g. hyperlinks to related references, datasets).
 - Checking license and copyright conditions, including archiving arrangements, to establish, in particular, whether or not access to back-files will be removed if the subscription is cancelled.
 - Examining preservation issues and assessing whether the back-files will be migrated, as and when necessary, to ensure that they continue to be accessible with newer technology.
 - Assessing technical and staff-time implications in terms of network infrastructure, workstation requirements and the extent of any IT support and development required.
 - It is recommended that evaluation of electronic resources be carried out, whenever possible, during trial access periods.

5.7.4. 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.

5.7.5. 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.

5.8. Collection Management

5.8.1. 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 & 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.

5.8.2. 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.

5.8.3. Retention, cancellation and disposal

- Acute shelving and storage space shortages – AU libraries and stores are currently full – combined with the increasing availability of electronic resources and the emphasis placed by universities on the creation of more learning spaces while retaining areas for research work, have led university libraries to rethink their policies relating to the retention of physical collections. The challenge for university research libraries is to contain or even reduce the need for additional shelving and storage space while retaining collecting levels that are appropriate for the support of high-quality teaching and research. This can be achieved by adopting a two-pronged approach:
 - Purchasing materials in electronic rather than physical formats wherever possible.
 - Discarding – rather than relegating to store – all print and other physical materials that have been replaced by reliably archived electronic resources and all print and other physical materials which no longer meet the teaching and research needs of the University.
- Consultation with academic colleagues on items identified for relegation or disposal will be handled by the Library Manager. Academic staff will be invited to examine lists of material identified for cancellation, relegation or disposal, via the Library services web site, and request re-designation of items that are of concern to them.
- Criteria for selecting items for withdrawal include the following:

- Books, print journals and other physical items that are no longer relevant to the current and future teaching and research needs of the University (e.g. in subjects that have been dropped by the University), unless it can be demonstrated that they are rare or unique items that are not available in legal deposit libraries in UAE or abroad.
- Print version of high-use electronic journals where access to archives is secure – either via perpetual access arrangements with publishers or other secure archive services.
- Print version of low-use journals where access to archives may not be secure, but which are available through the document delivery service.
- Material, which is held in another preferred format.
- Abstracts and indexing print runs available electronically and where these are available in perpetuity.
- All duplicates except duplicates of titles listed in current reading lists.
- Single and duplicate copies of old and superseded texts, including textbooks and reference sources, unless it can be demonstrated that they have some historical value.
- Low-use items in poor physical condition that are available in other libraries.
- Non-print resources such as 35mm slides and videos will be considered for withdrawal where the library is no longer able to provide or support the facilities for accessing it. Where possible, superseded media will be 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.

5.9. Access to remote collections

5.9.1. 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.

5.9.2. Physical access to other libraries

- Access to physical collections held in other institutions is made possible and regulated by a number of reciprocal access and borrowing schemes to which AU has signed up.

AU Library Working Hours

Day	Library 1 (Men)		Library 2 (Women)	
	From	To	From	To.
Sunday	07:30	20:00	07:30	20:00
Monday	07:30	20:00	07:30	20:00
Tuesday	07:30	20:00	07:30	20:00
Wednesday	07:30	20:00	07:30	20:00
Thursday	07:30	20:00	07:30	20:00



During exams period and upon users request AU libraries are open on weekends according to the following timetable:

Day	Library 1 (Men)		Library 2 (Women)	
	From	To	From	To.
Friday	15:00	21:00	15:00	21:00
Saturday	09:00	15:00	09:00	15:00

6. Information Technology Policy

Policy Name	INFORMATION TECHNOLOGY		
Policy Owner	Manager, Office of IT	Reviewed	Annually
Approved By	Chief Operating Officer	Approved Date	Jul. 2017

6.1. 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 in both campuses, Ajman and Fujairah. The authorized Office for running these resources is the I.T:

6.1.1. Support Unit

This unit consists of two teams

- a) Technical Support team: Responsible of troubleshooting, their main task is to resolve technical problems reported by users to the Help Desk.
- b) Service Desk team: 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.

6.1.2. Programming and Development Unit

This unit is responsible of creating and maintaining database applications in support of different AU services for both campuses, Ajman and Fujairah, 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.

6.1.3. Systems & Network Administration Unit

The main responsibilities of this unit consists of maintaining the IT infrastructure, configuring AU systems to operate in a network in both campuses, Ajman and Fujairah, configuring the network services, and perform day-to-day management of the network, network interfaces, and network services. This includes maintaining the following:

- LAN connection between the two campuses, Ajman and Fujairah.
- LAN connection between campus's buildings
- Internet Connections, with Internet Service Provider (ISP) such as Leased line and ADSL connections.

Another task of this unit is to solve problems that might arise while using the network and systems' services.



6.1.4. 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.

6.2. 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.

6.2.1. 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

6.2.2. 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 cancelation process for the fulltime employees will be done automatically when the employee completed the clearance process and his/her status is changed to inactive on the HR System. However, the Office of IT' may disable the access to AU's services before completing the clearance process without notice under the below conditions, when there is a risk of sabotage the data, corrupting, or abusing any of the systems/services:

- The employee has Admin privilege or power user on any of AU systems.
- The employee has been dismissed for ethical reasons.

The line manager requested to disable the User Account of resigned/dismissed employee.

AU user may use the AU User Account to access the below services:

- AU LAN/WAN Network
- Email
- SIS System
- Dynamic AX System
- E-Learning Management System (Moodle).
- LaserFiche Archiving System
- File Sharing.

AU Student User Account

All freshmen students should receive by email an identification letter with their Password/User Account details and how to use it after the drop/add period of each semester.

The student may use the user account to access all the below AU web services:

- Computer labs.
- Wi-Fi
- Email
- E-Learning Management System (Moodle)
- Online Registration System (ORS).

b. Helpdesk and Support

The user should contact the helpdesk to log a request either over the phone or by email, then accordingly, a work order should be queued in the tracking system, and the user request will be processed within a predefined time assigned by the tracking system automatically according to the request priority. The request will be escalated management level in case it is not resolved within the assigned time.

The Help Desk has three levels to handle the user requests.

- First Level:
Provides resolutions that often belong to a knowledge base accumulated from previous experiences.
- Second Level:
In case the request has not been completed, it will be escalated to the second, higher, level that has the necessary resources to handle more difficult specialized requests.
- Third Level:

AU also have a third, higher, level, line of support which often deals with software specific needs, such as updates and bug-fixes that affect the client directly.

The assigned technician should log the case details, and how he/she has resolved it; and then close the order.

The tracking system will send to the user an email automatically upon closing the order informing them that the request has been resolved and the order is closed.

Please see the below documents for more details on the Helpdesk (Service Desk) processes:

- How the Helpdesk (Service Desk) manage the Incidents: Please see the Incident Management Policies and Procedures
- How the Helpdesk (Service Desk) manage the problems: Please see the Problem Management Policies and Procedures
- How the Helpdesk (Service Desk) handle the Change request: Please see the Change Management Policies and Procedures.

c. Campus LAN/WAN Network

The IT Network policy and procedures have been developed to provide students, faculty, and staff access to a reliable, robust, and integrated wireless network and to enhance security of the campus wireless network to the maximum extent possible.

- All campus users are subject to the following wireless guidelines as well as existing guidelines for the wired network. The wireless network is an extension of the existing network and therefore falls under the control and supervision of the Office of IT. Due to the complex nature of wireless technologies, it is imperative that users of the wireless network follow the guidelines and policies outlined in the following.
- All campus network users must register with the Office of IT to obtain a user account and a password. The purpose of user accounts and passwords is for authentication of users and tracking users and devices, not to limit access. An employee or Faculty/Office/Unit must register guests and part timers. Guest/ part timer user account shall be issued for a limited period.
- Wireless networks are NOT a replacement for wired networks. The purpose of the wireless network is to extend the wired network by providing Web browsing and e-mail access in areas of transient use such as common areas. Wireless networks have a much smaller bandwidth than wired networks; therefore, applications that require a large bandwidth may overload the wireless network. Wireless networks work best when the number of users is limited - the more users, the smaller the share of the bandwidth available to each.
- Only wireless hubs installed and managed by IT will be allowed for use on the AU wireless network. Students and faculty are not permitted to install their own wireless networking equipment. Offices wishing to implement a wireless network must notify the Office of IT. The Office of IT will survey the site and determine the feasibility of a wireless connection. Only switches pre-evaluated and installed by the Office of IT will be used.
- Wireless should only be used for mobile computing. Any time wired access is available; it should be used for increased performance.
- Any effort to circumvent the security systems designed to prevent unauthorized access to any AT wireless network may result in the suspension of all access to AU network and an appearance before the appropriate disciplinary board.



d. 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 is denied unless expressly granted. Access is generally granted by the Office of IT in the form of computer and network accounts to registered students, faculty, staff, and others as appropriate for such purposes as research, education (including self-study), or University administration. University accounts are protected by passwords.
- Accounts are assigned to individuals and are not to be shared unless specifically authorized. You, the user, are solely responsible for all functions performed from accounts assigned to you. Anything done through your account may be recorded. It is a violation of University Policy to allow others to use your account. It is a violation to use another person's account, with or without that person's permission.
- The password, used with the account, is the equivalent of an electronic signature for the user. The use of User Account and password authenticates the identity and gives an on-line affirmation the force of a legal document. The user should guard the password and account as he/she would his/her check book and written signature. It is a violation of this Policy to divulge your password to anyone. It is a violation to attempt to learn the password to another person's account, whether the attempt is successful or not.
- The User may not attempt to disguise his/her identity, the identity of your account or the machine that you are using. The user may not attempt to impersonate another person or organization.
- The User may not attempt to monitor other users' data communications; he/she may not infringe the privacy of others' computer files; the user may not read, copy, change, or delete another user's computer files or software without the prior express permission of the owner.
- The User may not engage in actions that interfere with the use by others of any computers and networks. Such conduct includes but is not limited to: the placing of unlawful information on the system, the transmitting of data or programs likely to result in the loss of the recipient's work or system downtime, the sending of "chain letters" or "broadcast" messages to lists or individuals, any other use that causes congestion of the networks or interferes with the work of others.
- The User may not engage in actions that threaten or intentionally offend others, such as the use of abusive or obscene language in either public or private messages, or the conveying of threats to individuals or institutions by way of AU computers and/or networks.
- The User may not attempt to bypass computer or network security mechanisms without the prior express permission of the owner of that computer or network system. Possession of tools that bypass security or probe security, or of files that may be used as input or output for such tools, shall be considered as the equivalent to such an attempt.
- The User may not alter, copy or translate software licensed to another party. The user may not make available copyrighted materials without the express permission of the copyright

holder. Respect for intellectual labor is vital to the academic discourse. Violations of authorial integrity, plagiarism, invasion of privacy, unauthorized access, and trade secret and copyright violations may be grounds for university sanctions as well as legal prosecution.

- Anyone who does not abide by the rules above will be referred to the university Law Affairs.

To summarize, access to University computing and communications equipment and facilities may be revoked for reasons including, but not limited to:

- Attacking the security of the system;
- Modifying or divulging private information such as file or mail contents of other users without their consent;
- Misusing or abusing Internet/Network by using Internet tools or software that may affect the performance of the Internet/Network;
- Modifying or destroying University data;
- Using the networks/Internet in a manner contrary to the established guidelines;
- Users who are using a different domain other than AU domain.
- Software Piracy

Finally, users may not read sensitive information simply because it is accessible to them - because of accidental exposure and/or through the malice of others who have broken into a system or are misusing their access privileges. When sensitive information is recognized as such, it should not be examined further, but reported to the keeper of the materials, if known, or reported to management, if not.

6.3. Use of Technology Resources

The Office of IT is responsible of providing and maintaining the IT technologies used in AU's teaching facilities, Classrooms and Computer labs. Therefore, the Office of IT set the following policy:

- The university ID is to be shown to the computer lab supervisor and the supervisor has the right to check the ID at any time.
- University computer systems shall not be used for commercial purposes without written authorization of the university's management.
- Files, sign-on, user names, passwords, and computer output belonging to an individual or the institution are considered personal property. Users shall not examine, change, or use another person's files, output, or user names for which they do not have explicit authorization. The same restriction applies to institutional files.
- Students should notify the supervisor if the PC is slow or not working properly; consequently supervisor to notify help desk if he/she is unable to resolve the issue.
- Users cannot install any programs from the Internet.
- The lab supervisor is the person in charge of enforcing the Internet lab policy.
- All users must log off when their time is over and/or they have to leave the lab.
- All PCs are managed by IT, including the security settings and Virus Protection policy.
- Any software need to be installed on computer labs should be reported to Office of IT. The installation shall be processed as the per the request process of the Helpdesk and Support



services.

- Anyone who does not abide by the rules above will be referred to the student's affairs.

6.4. 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:

Periodic Maintenance and Updating:

- The Office of IT is responsible for providing and maintaining (or arranging maintenance for) all computing and network resources including faculty and staff PCs. It is also responsible for maintaining and upgrading of IT resources, hardware and software, for all computing laboratories in the University.
- In addition to periodic maintenance of computing and network resources provided by the Office of IT, the faculty and staff can contact the Help Desk of Office of IT for any needed maintenance. The Office of IT shall promptly respond to the request and carry out the required maintenance job.
- Within its life cycle, as defined in the following section, computers should require maximum of three major software upgrades (operating system or office suite) and should generally not require a hardware upgrade. However, if the user's requirements change, necessitating a change in hardware configuration, only one upgrade (RAM, hard disk, processor, etc.) should be scheduled during the equipment's life cycle.
- For each computing lab, the Lab Supervisor shall be responsible for monitoring the operation of all hardware and software resources in the lab. He/she shall immediately report to the Office of IT of the University about any malfunction of PCs or other computing and network resources. The Lab Supervisor shall also be responsible for general maintenance and for ensuring that students have no difficulty in efficiently utilizing all resources (hardware and software) throughout the semester. In addition, at the end of each semester, all resources in the lab shall be thoroughly evaluated and maintained. In this regard, he/she shall contact the Office of IT for any needed support for periodic maintenance or upgrading at the end of each semester.
- Subsequently, the Lab Supervisor shall submit a report to the Lab Committee of the concerned Faculty at the end of each semester about the functioning and adequacy of the hardware and software resources in the lab and steps taken for periodic maintenance and upgrading, if carried out.
- The Lab Committee of each Faculty shall coordinate with the Office of IT to ensure that all resources in the computing labs of the concerned Faculty are regularly maintained and upgraded, if needed, to the satisfaction of the Lab Committee, faculty members, Lab Supervisors, and students.

Periodic Replacement:

In general, computers should be replaced in specific locations when the hardware becomes a barrier to the user. This occurs primarily when the University's standard software suite, or the software required for instruction, service, or research work will not run effectively on the existing hardware. At the same time, it is important to

realize that computer replacement is expensive, disruptive and labor intensive for both the end user and the IT staff. Changing computers often requires a migration of data files and ancillary programs from the older units to the new units, and may require relearning software functionality when the computer comes in with newer software versions. Further, adding a new computer with new software versions to an existing office or facility can cause problems when shared files are no longer compatible. In an effort to balance the need to upgrade with the negative effects of replacement, computer purchasing must be orderly and planned in advance. The replacement policy outlined here covers all devices used by students, faculty, staff or administrative units.

- The University life cycle for desktop and lab computer/workstations is three to four years. The life cycle for University and lab servers is determined by the application software and will be established individually.
- Areas that require more technology that is contemporary may receive new computers more often than every three to four years life cycle. These locations are to be established in consultation with the Faculty's Deans, and identified on the replacement schedule.
- Replaced computers that are less than four years old will be recycled into locations to obtain an effective three to four years of primary use and maintain the University on an overall four-year replacement cycle.
- Recycled computers should remain in their second location for at least one year.
- The distribution of recycled equipment is to be identified in the replacement schedule and managed by campus and central representatives for their respective inventories.
- For budgeting purposes, computer replacement should be included as an annual, specifically identified line item in the Faculty's budget.
- Replacement computers are to be purchased on a University-wide basis. The University establishes a standard computer configuration for each purchasing cycle. Some installations require additional options. A procedure will be developed in consultation with Financial and The office of Procurement to determine how options should be budgeted and purchased.
- A replacement schedule will be maintained as part of the University's computer inventory. The inventory/schedule will be maintained through the Office of IT
- Each campus and central Office of IT will be responsible for maintaining inventory/replacement information on the equipment within their areas and for requesting any changes in replacement time frames. The Office of IT will prepare the University's budget request for replacements and provide it to the office of Finance and Office of Procurement at the appropriate time.
- For planning purposes, a computer's projected replacement date should be established when initially acquired.
- Replacement ordering will occur within the University's established computer ordering cycles.
- Computers purchased should be deployed so they equip entire offices or labs during one purchase cycle. Users within definable networks, classes, offices and areas should all be working with hardware and software of the same vintage, except as follows:
 - Some office computers will not have the same software requirements as the rest of the office's equipment. For example, a PC may be a single function device used by a University aide where compatibility or efficiency of use is not a major factor. Here, a recycled PC or a PC replaced less often may be more appropriate as long as the presence of this computer on the network does not inhibit network security or functionality. The computer inventory/replacement schedule will document where these ancillary computers are used.



- Computers should be purchased with enough technical capacity to support the user through the entire life cycle. The selection should seek to balance an increased life cycle resulting from purchasing increased capabilities against the initial cost. The standard PC configuration should not be modified external to the review/approval/involvement of the Office of IT.
- Computers are the property of the University. When a computer is replaced, it becomes available for reassignment to other uses at the University. Recycling plans are identified in the University's replacement schedule and will be managed by central and campus staff.
- Distribution decisions are made on a University-wide basis in advance of replacement. Upon the installation of a replacement computer, the recycled PC is normally returned to the warehouse or campus storage location awaiting redistribution after all new replacement computers are installed.
- Requests for recycled computers should be made to the campus Office of IT. Each campus and central will develop procedures for managing recycle requests.
- If an additional PC is needed within an office, the campus should first look to acquire a unit from stock, of the same vintage as the rest of the office's equipment. The goal is to keep the entire office/unit on its initial replacement schedule and all users on the same software versions.

6.5. 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.

6.5.1. 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.

6.5.2. Description

Systems will be backed up according to the below schedule:

Data	Backup Type	Time	Location
SIS	SQL DB Backup (Full)	Daily at 20:00	Data Domain
Dynamics-AX	SQL DB Backup (Full)	Daily at 20:00	Data Domain
HR-net	SQL DB Backup (Full)	Daily at 20:00	Data Domain
OAS/ ORS/ Fuj ORS	App Data Full	Twice a week (Mon, Fri 20.00)	Data Domain
Library System	SQL DB Backup (Full)	Daily at 20:00	Data Domain
	App Data Full	Twice a week Tues, Sat 22:00	Data Domain
DC Servers	Full Backup	Twice a week Mon, Fri 02:00	Data Domain
Windows 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.
- Weekly Backup of the below systems will be moved to Fujairah campus, and replaced on weekly bases:
 - SIS SQL DB Backup Full
 - OAS/ ORS/ Fuj ORS App Data Full
- Daily backups will be maintained for 30 days
- Weekly backups will be maintained for a period of three Months.
- 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:
 - 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.

6.6. Office of IT - Staff Members' List

Office of Information Technology

Srl. No.	Employee ID	Name	Job Title	Section
1	37	Inas Wahid Mahmoud Abou Sharkh	Information Technology Manager	
2	4398	Fidaa Mohammed Taha	Assistant Secretary	
3	2692	Maysa Abdul Kareem M. Haddad	Help Desk Senior Coordinator	Helpdesk
4	471	Ahmad Ali Akl	Head of Network Administration	Sys& Network Team
5	108	Ramzy Gamel Khalil El Nagar	Network Engineer	Sys& Network Team
6	2323	Moaaz Abdel Rahman Elamasy	Senior Network Administrator	Sys& Network Team
7	4038	Motasem Y. S. Salah	System Engineer	Sys& Network Team
8	3219	Tareq Omar Hasan Hasayen	System Administrator	Sys& Network Team
9	4465	Vani Bhargavi	Database Administrator	Sys& Network Team
10	38	Ghada F.S.S. El-Ras	Head of Programming & Development	Programming & Development Team
11	4455	Ashok Neerudi	Software Developer	Programming & Development Team
12	4456	Amjed Abu Sa'a	Software Developer	Programming & Development Team
13	1259	Hala Hussein Abu Ras	Head of Support	Technical Support
14	325	Hosam Gamil El-Nagar	Senior Technical Support	Technical Support
15	4332	Mohammed Abdulaziz M. Nawar	Technical Support	Technical Support
16	2775	Youssef Aly Gamil Abou Shaban	Senior Technical Support	Technical Support
17	1490	Hanan Khalil A. Abu Serdana	Hostel IT Coordinator	Technical Support
18	2324	Zaheer Ahmed Nazar Hussain	Senior A/V Technician	Technical Support
19	3922	Mohammed Azeem Hafeeq	IT Technician	Technical Support
20	3023	Mohammad Auyb Tahir	Audio Visual Technician	Technical Support
21	4075	Satish Keshav Shirke	Audio Visual Technician	Technical Support
22	3399	Ala Mahmoud M. Alnejadat	Technical Support/College	Teaching & Learning
23	2220	Khawla Hashim Younis Shabana	Technical Support/College	Teaching & Learning

Srl. No.	Employee ID	Name	Job Title	Section
24	3881	Ahmad Salaheddine Haddad	Technical Support/College	Teaching & Learning
25	4550	Ahmed Al Astal	Lab Supervisor	Teaching & Learning
26	4570	Fatima Alshamsi	Lab Supervisor	Teaching & Learning
27	109	Muhannad Fuad Al-Syadly	Technical Writer	Teaching & Learning
28	4407	Alaa Abdelnabi Saad	Administrative Support	Teaching & Learning

6.7. AU Teaching Facilities with Technology Resources

College	Teaching Facilities	PC Model	Total No. of PCs	Total Classrooms	Total Comp. Lab/College
IT	M1	23 Dell 3020	23	10	
	M2	24 Dell 7020	24		
	M3	20 Dell 7020	20		
	Network M1	21 Dell 3010	21		
	Project M1	19 HP 3130	19		
	W1	23 Dell 3020	23		
	W2	24 Dell 7020	24		
	W3	22 Dell 7020	22		
	Network W1	18 Dell 790 2 Dell 755	20		
	Project W1	19 Dell 755	19		
	Total PCs		215		
	Classrooms			11	
Requirements	Statistics M	25 Dell 7040 3 Dell 3010	28	6	
	Computer App M	25 Dell 3020 1 Dell 790	26		
	English M	8 Dell 790 15 HP 3130	23		
	Statistics W	28 Dell 3010	28		
	Computer App W	24 Dell 3020	24		

College	Teaching Facilities	PC Model	Total No. of PCs	Total Classrooms	Total Comp. Lab/College
	English W	19 Dell 3010 4 Dell 360	23		
	Total PCs		152		
	Classroom			9	
Mass Comm	Multimedia W	25 Dell 3010	25		
	Multimedia M	24 Dell 790	24		
	MAC W	21 IMAC	21		
	MAC M	21 IMAC	21		
	Total PCs		91		4
	Classrooms			13	
Engineering	CAD M	22 Dell 7040	22		
	CADW	Dell 7040	15		
	WorkShop M	1 Dell 9020 1 Dell 7040	2		
	WorkShop W	1 Dell 9020 1 HP 3300 1 Dell 7040	3		
	CAAD M	23 Dell 3010	23		
	CAAD W	23 Dell 3010	23		
	Total PCs		88		6
	Classrooms/Studios			33	
BA	B1 W	18 Dell 7040 2 Dell 3010	20		
	B1 M	9 Dell 7040 6 Dell 3010	15		
	B2 W	25 HP 3130	25		
	B2 M	25 Dell 3010 2 HP 3130	27		
	Total PCs		87		4
	Classrooms			14	
Internet Labs	J1 M	12 Dell 7020	12		
	J1 W	11 Dell 7020	11		2



College	Teaching Facilities	PC Model	Total No. of PCs	Total Classrooms	Total Comp. Lab/College
			23		
Pharmacy	Teaching Pharmacy	20 Dell 7020	20		1
	Total PCs		20		
	Classrooms			14	
Education	Physics	10 Dell 7020	10		
	Computer Lab	5 Dell 790 14 Dell 3010 5 dell 7010	24		2
	Total PCs		34		
	Classrooms			9	
Total			710	94	35
Total Classrooms/Computer Labs in AU				129	

7. Health and Safety Policy

Policy Name	HEALTH AND SAFETY		
Policy Owner	Director, Office of University facilities	Reviewed	Annually
Approved By	Chief Operating Officer	Approved Date	Jul. 2017

This policy applies broadly to all members of the University community and all University-owned and managed facilities and operations. The University also recognizes the importance of a healthy, safe work and study environment for the well-being and productivity of staff and students, and as a principle of business sustainability.

This policy purpose is to outline the University's commitment to protect all members of the University community, as well as ensure compliance with all applicable regulations.

7.1. statement

AU is committed to protecting the health and safety of all members of the University community. To demonstrate this commitment, AU shall be a leader amongst universities for health and safety issues. Therefore, it shall be the policy of AU to:

- Provide facilities and operations that are safe and healthful;
- Strive to prevent all occupational injuries and illnesses by emphasizing safety management, education and training, and safe work practices;
- Comply with all applicable health and safety laws and regulations;
- Minimize waste, and reuse/recycle materials when it is economically and environmentally appropriate;
- Ensure that health and safety is a principal consideration in the design, construction, and/or renovation of all University buildings and facilities;
- Establish goals, measure and report health, safety, and environmental performance;
- Incorporate health, safety and values in the University's teaching and research while maintaining the independence and vitality of these activities.
- **The University Deans, Heads of Department, Administrative Directors are required to:**
 - ensure that this policy is effectively implemented within their areas of control;
 - ensure regular review of workplace health and safety practices in their areas of responsibility;
 - provide opportunities for appropriate training in workplace health and safety;
 - support supervisors in ensuring health and safety policies and procedures are implemented, including effective communication of relevant information;
 - hold supervisors accountable for workplace health and safety in areas under their control;
 - allocate appropriate resources to ensure effective implementation of the policy.



- **Supervisors are required to:**

- ensure that work/study/research areas under their control are safe;
- ensure that the behavior of all persons in areas under their control is in accordance with; relevant legislation and University health and safety policy and procedures.

- **Staff, students, visitors and contractors are required to:**

- comply with the University health and safety policies and procedures;
- conduct their activities in a manner which prevents personal injury or injury to others, and/or damage to property;
- cooperate with and actively participate in the University's safety management system;
- report any unsafe conditions or acts that come to their attention.

AU's Health and Safety Department is responsible for implementing the University policies by providing consultation, education, training, audits, and by displaying safety instructions in classes, labs, corridors and general information on the university website.

This Safety Statement will be reviewed annually and revised as necessary, in accordance to the observations raised during audits or organized drills with local authorities such as the fire department. This planned exercises are conducted at least once a year, and include appropriate fire precautions to prevent fires, detect them if they arise and ensure the safe and swift evacuation of everyone from a building in which a fire has started.

7.2. Emergency Evacuation Plans

In the event of a fire or other emergency, seconds count. The safe, orderly and prompt evacuation of building occupants depends on having the physical safety features of a building in operating condition as well as having an emergency evacuation plan. The cooperation and participation of every building occupant is essential. Every person that lives and works in a building on campus has an individual responsibility to know how to evacuate in an emergency and to accomplish the evacuation when the fire alarm device sounds or when directed by an authority. This guide will help you to prepare for emergency situations that might arise in your facility.

7.2.1. Pre-plan your escape

- Know the location of fire alarm pull box locations.
- Make sure your floor has at least two unobstructed ways out.
- Check the fire exits to make sure they are usable.
- Do not use the elevators. They could become disabled, trapping you on the fire floor.
- Know the location of fire rated stairwells that will provide a protected path all the way to the outside.
- Learn the sound of your buildings fire alarm. They could be bells, chimes, horns or a coded gong.

7.2.2. If there is a fire or fire alarm, everyone evacuates!

- If you discover a fire or smoke condition, sound the building alarm by activating the nearest pull station.

- Make a follow-up call to University **Service no. 0505764746** or **police emergency no. 998**
- Whenever you hear the fire alarm sound, **leave immediately!** Do not assume the fire alarm is false or a test and wait to see what others do. In a fire, seconds count.
- Try to help others, if you can do so safely.
- Unless unusual conditions dictate otherwise, the best evacuation route is the nearest stairway and out the nearest exit.
- When leaving, close (do not lock) the door behind you. If the door locks automatically, take your key with you in case you need to get back in for refuge.
- Once outside, meet at your assembly point and take a head count to make sure everyone is out and accounted for. Never attempt to re-enter the building to search for someone missing, let fire or police officials know.

7.2.3. Is the door hot?

- Before opening a door, you should make sure there is no fire on the other side by using the back of your hand to touch the door, door knob or door frame.
- If any feel hot, don't open it, there is probably fire on the other side. If cool, open the door slowly, leave the area and close the door behind you.
- Stay low when there is smoke.
- If you encounter smoke while escaping, crawl or get as low as you can. The cleanest air will be within 1 to 2 feet from the floor. If the main exit is blocked by fire or smoke, you should use your alternate route. If this is not feasible, go back in your room to wait for rescue.

7.2.4. If you can't escape

- Close all doors between you and the fire.
- Seal cracks around doors with cloth to keep the smoke out.
- Call **998** to notify them of your location.
- While waiting for rescuers, signal from a window by hanging clothes out the window,

7.3. Parking and Traffic Regulations

AU parking and traffic system was established to provide convenient parking for faculty, staff, students and visitors and to facilitate the safe operation of all motor vehicles on property owned or controlled by Ajman University.

Any member of the faculty, staff or female student body who operates a motor vehicle on campus must register that vehicle with the university in order to receive a campus-parking sticker. Registration entitles a person to drive on campus and to park in designated parking lots only. It does not guarantee the availability or location of a parking space.

7.3.1. Policies and Regulations

- Ajman University (AU) assumes no liability for damage or loss to private vehicles, their occupants or their contents while on university property.



- Parking and use of vehicles on campus without registration or permission from the university or in violation of regulations is prohibited.
- Vehicles shall not be operated beyond posted speed limits. The campus speed limit is 25 kmph.
- No motor vehicle shall be driven or parked on a walkway.
- No person shall park a motor vehicle other than in designated parking areas unless specifically authorized by the university.
- Drivers on campus must obey all university regulations and all provisions of Ajman Police and Traffic Law. Drivers must obey all traffic signs and directions from AU security personnel, who are authorized to enforce all traffic and parking regulations.
- Vehicles must be operated in such a manner as not to endanger or injure pedestrians, property or other vehicles and drivers.
- Violators will be reported to the University Facilities & Services Office.
- At all times, students are prohibited from using spaces and parking lot sections reserved for handicapped persons, visitors, faculty and staff.
- Parking is prohibited on walkways, on crosswalks, at roundabouts and in other restricted areas. Additionally, parking that obstructs traffic is prohibited.

7.3.2. Special Parking Privileges

The following special parking permits are issued only by the Facilities & Services Office. Abuse of special parking privileges will result in automatic revocation.

Handicapped Persons

Parking spaces for handicapped are reserved for those who have special handicapped license plates or permits for handicapped parking issued by the Medical Services Office. Members of the university community who suffer a temporary disability that clearly affects their ability to walk may apply to the University Medical Clinic for a temporary handicapped parking permit. Unauthorized parking in a handicapped space will result in a fine.

Visitors

Students are responsible for their guests. Guests must obtain a temporary parking permit and comply with all AU regulations. Guests must leave their photo ID with the security at the university gates. It will be returned upon leaving the campus. Visitors will also receive a sticker that should be fixed on the vehicle and returned to the security personnel upon departure.

7.3.3. Restricted Areas

Loading Zones/Deliveries/ Entrance

Each academic building on campus and each dining hall is provided with a loading zone adjacent to the building. No parking is permitted in loading zones except for vehicles making deliveries. Standing is permitted in loading zones while a delivery or pick-up is being made. Such standing is presumed to be of a short duration (no more than 15 minutes) and is not to exceed the period during which the vehicle is required to complete loading or unloading.

Walkways (Parking off pavement)

Walkways include any paved way on campus that is not defined as a roadway. No driving is permitted on any walkway except under emergency circumstances. (Emergencies are presumed to refer to the need to bring fire, rescue, ambulance, and security or police vehicles close to a building in order to safeguard lives and property.) Where exceptional circumstances require vehicles access to a walkway, permission must be obtained in advance from the Director of Security on a case-by-case basis. Permission in one instance is not a precedent and does not carry over to a similar circumstance in the future.

7.3.4. Parking Reservation

- Annual parking fee is AED 400 for shaded spaces and AED 300 for unshaded spaces.
- Replacement fee for lost boom barrier card is AED 300.
- Parking spaces are reserved until 3:30 pm only
- For cancelling parking reservation, please inform the Office of Facilities and Services and return the entry card to any security staff, to avoid any deductions by the Finance Department.

7.3.5. Car Stickers

All faculty, staff and female students must register their vehicles at the Facilities & Services Office and must display a valid AU parking sticker on the windshield. Registration entitles a person to drive on campus and to park in designated parking spaces in parking lots only. It does not guarantee the availability or location of a parking space.

- Permanent stickers are issued to AU female students, faculty and staff and should be renewed annually.
- Temporary stickers are issued for visitors, faculty or staff on campus part-time or short-term, and contractors.
- Hangtags are available for faculty, staff and students who own more than one car.
- Vehicles may be registered in the Facilities & Services Office. Each applicant must show a valid vehicle registration and AU valid ID card.
- Faculty staff and students are not charged for car stickers.

Drivers on campus must obey all university regulations and all provisions of Ajman Police and Traffic Law.

For faculty and staff

- For first offenses, strict warning sticker is placed on the car.
- For second offenses, a strict warning sticker is placed on the car and the police is notified to issue a fine.

For students

- For first offenses, strict warning sticker is placed on the car.
- For second offenses, a strict warning sticker is placed on the car and the police is notified to issue a fine.

Police intervention

Offending vehicles are subject to certain police liaison cases as follows:

- Blocking the road or loading areas and traffic in any way whatsoever.



- Parking without permission in a parking spot reserved for the disabled.
- Parking in non-designated parking spaces.

8. External Audit Policy

Policy Name	EXTERNAL AUDIT		
Policy Owner(s)	Manager, Office of Finance Manager, Internal Audit	Reviewed	Annually
Approved By	Chief Operating Officer	Approved Date	Jul. 2017

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.

8.1. 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.

8.2. 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.

The objectives of the auditor is, to obtain reasonable assurance that the financial statements as a whole are free from material misstatements whether due to fraud or error, thereby enabling the auditor to establish an opinion on whether the financial statement are prepared, in all material respects, in accordance with applicable reporting framework.

8.3. Statement

8.3.1. 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.



8.3.2. 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.

8.3.3. Notification & 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 Manager will distribute copies of the draft report to the concerned departments 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.

8.3.4. 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 departments for written management responses.

Internal Audit Manager

- Assists the Finance Manager with coordination of external audit activities.
- Follows up the implementation of audit recommendations.

Department 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.



9. Financial Policy

Policy Name	FINANCIAL POLICY		
Policy Owner	Manager, Office of Finance	Reviewed	Annually
Approved By	Chief Operating Officer	Approved Date	Jul. 2017

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.

9.1. Statement

9.1.1. 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.

9.1.2. 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.

9.1.3. 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.

9.1.4. 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.

9.1.5. 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 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.

9.1.6. 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.

9.1.7. 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 & 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 & 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.

9.1.8. 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.



10. Cash Management Policy

Policy Name	CASH MANAGEMENT		
Policy Owner	Manager, Office of Finance	Reviewed	Annually
Approved By	Chief Operating Officer	Approved Date	Jul. 2017

This policy 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.

10.1. Purpose

The policy serves as a guideline towards safeguarding AU's cash resources. 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.

10.2. Statement

10.2.1. Accepted Currencies

- GCC currencies.
- United States of America Dollar (USD)

10.2.2. 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.

10.2.3. 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.

10.2.4. 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.

10.2.5. Bank Remittance

Daily collections will be consolidated and delivered to the bank next working day.

10.2.6. 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

10.2.7. 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 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.



10.2.8. 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 CRVs will carry the "cancelled" stamp and missing sequence numbers will be investigated.

11. Procurement and Inventory Control Policy

Policy Name	PROCUREMENT AND INVENTORY CONTROL		
Policy Owner	Manager, Office of Procurement	Reviewed	Annually
Approved By	Chief Operating Officer	Approved Date	Feb. 2017

11.1. 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.

11.2. 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 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.

11.3. 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.

11.4. Financial terms

11.4.1. 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.

11.4.2. 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

11.4.3. 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

11.4.4. 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.

11.5. Procurement Office Role

11.5.1. 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.

11.5.2. 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 requisitioners.

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.

11.5.3. 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.

11.6. Suppliers and Contractors

11.6.1. 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.

11.6.2. 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 licences 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.

11.7. 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.

11.7.1. 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.

11.7.2. 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.

11.7.3. 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.

11.8. Types of Purchases

11.8.1. 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.

11.8.2. 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.

11.8.3. 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.

11.8.4. 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.

11.9. Procurement Procedures

11.9.1. 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.

11.9.2. 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.

11.9.3. 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.

11.10. 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.

11.10.1. 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 & F or C. I. F. - a measure to be determined by the Procurement Office.

11.10.2.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.

11.10.3.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.

11.10.4. 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.

11.10.5. 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.

11.10.6. 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.

11.11. Tender

11.11.1. 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.

11.11.2. 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.

11.11.3. 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.

11.11.4.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.

11.11.5.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.

11.11.6.Evaluation of Tenders

1. Sealed bids shall be opened by the Procurement Committee.
2. The end user unit shall evaluate the technical aspects of the submitted bids and provide the Procurement Committee with a technical report thereof.
3. The best offers shall be selected, taking into consideration that the offer with the least price shall be amongst the technically acceptable offers and observing that it is meeting the requirements of the end user unit and achieving value for money. The best offers may be selected by giving some weight to the

aspects of their technical viability and financial feasibility. The best offer may be selected even though it is not of a lesser price, provided that convincing arguments are put forward thereto.

4. If the prices of two bids or more are equal, the Procurement Committee upon a recommendation from the Procurement Office and in coordination with the end user unit may split the amounts or quantities of the tender subject matter amongst the bidders offering similar prices so long as such split will not harm the business interests.
5. The Procurement Office shall notify the successful bidder of the award in an official letter within a maximum period of one week from the date of the Procurement Committee's approval of the bid award. The successful bidder shall be asked to submit a performance bond and sign the contract within a maximum period of 15 days as of the award notification date.
6. Should the successful bidder fails to sign the contract within a maximum period of 15 days from his notification of the award without a plausible excuse; he shall be deemed as having withdrawn his bid. Consequently, his bid bond shall be seized and the university shall have the right to seize all or some of his receivables in addition to reserving the right to demand compensation for incurred losses.

11.12. Bank Performance Bonds

1. The supplier or contractor shall submit an unconditional and irreversible performance bond issued by a bank operating in the country if the value of the successful bid is in excess of AED 1,000,000 (one million dirhams). The value of the bond shall be determined by the Procurement Committee. The bond amount, however, shall be no less than 10% of the bid value, provided that no bank interest is imposed on the value of the performance bond letter.
2. The supplier may be relieved of submitting a performance bond letter for purchase orders or contracts whose value is less than AED 1,000,000 (one million dirhams) in the following cases:
 - a. If the period of supply or performance of work in the contract does not exceed 90 (ninety) days. However, the Financial Office shall hold 5% of the the value of each invoice payable to the supplier which shall only be released after three months from the date of final delivery or as per the terms and conditions of the contract.
 - b. If the materials have already been delivered and the contracted work been performed.
 - c. If the supplier or contractor has monetary entitlements with the university equivalent to or more than the value of the performance bond. In such case, an amount equivalent to the value of the performance bond shall be held from said entitlements provided that the supplier or contractor submits a request to the Procurement Office to that effect.
3. The performance bond shall be valid throughout the contract period, in addition to a required three more months of validity of the bond.
4. The contractor shall provide a maintenance bond upon final execution of the contracted works (projects) as a guarantee for maintenance. The bond value shall amount to 5% of the contract value.
5. A contractor with the university from government departments, public establishments and corporations or other government bodies shall be fully relieved of submitting a performance bond and shall also be relived of advance payment bond paid by the university to the contractor.
6. If the successful bidder fails to submit the value of the performance bond within 15 days as of the date of notifying him of his bid acceptance or from the effectivity date of the contract, the university may:
 - a. Seize the bid bond
 - b. Blacklist the bidder, remove his name from the university's Register of Suppliers and



Contractors, and suspend any dealings with him for one year as of the date of the award decision. The Financial Office shall be notified thereof.

7. The original documents of the bonds shall be kept with the Financial Office which shall be responsible for their renewal if need be. The originals of the bonds shall be returned to the contractor without prejudice to the contract terms and conditions as per the following:
 - a. Approval of the Procurement Office for materials contracts and purchase orders.
 - b. Approval of the Services and Facilities Office or equivalent for services and works contracts.

11.13. Contract

11.13.1. 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.

11.13.2. 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.

11.13.3. 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.

11.13.4.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.

11.13.5.Termination of the Contract

1. The Contractor shall perform the contract in accordance with its terms and conditions, otherwise he shall be subject to the penalties provided for in the contract and in this manual.
2. In case of fraud, manipulation or bribery by the contractor, the university shall have the right to cancel the contract, seize the performance bond and perform the contract at the contractor's expense, still reserving its right to compensation.
3. In the case of the contractor's bankruptcy or insolvency, the university shall have the right to cancel the contract, seize the performance bond and reserve its right to compensation.
4. In the case of the contractor's death, the university shall have the right to cancel the contract and return the performance bond or allow the contractor's successors to continue performing the contract.
5. Should the contractor submits documents proving that the delay in the performance of the contract was a result of force majeure or circumstances caused by the university, the resulting default shall be overlooked - an issue left to the discretion of the Contract Administrator.

11.13.6.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.

11.13.7.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.

11.13.8. 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.

11.14. 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.

11.15. 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.

11.16. 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.

11.17. Stock

11.17.1. 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.

11.17.2. 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.

11.17.3. 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.



11.17.4. Materials Coding

The Procurement and Warehouse Office shall set up a central coding system and a specifications guide for all stock purchases.

11.17.5. 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.

11.17.6. 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.

11.17.7. 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.

11.17.8. Receiving, Stocking, and Issuing Stock Items

1. The storekeeper shall receive the "Stock Items" and inspect them to ensure that they match purchase orders in term of quantities and specifications. Should the materials inspection need special technical expertise, the storekeeper shall seek assistance from an employee with expert knowledge on the received items.
2. The items whose value exceeds AED250,000 (two hundred and fifty thousand dirhams) shall be received by the Receipt Committee and the storekeeper.
3. A paper receipt voucher for the actually received quantities which meet the specifications shall be

issued and signed by the storekeeper and the Receipt Committee chairman in the cases that so require.

4. Items which do not comply with the specifications or in excess of the required quantity specified in the purchase order shall be kept in a special place as a first step of a process to return or replace them as the case may be. The supplier shall be notified of the same in writing by the Procurement Office. The Financial Office shall also be notified thereof.
5. Stock Items shall be issued to user colleges and administrative units in electronic vouchers. The Issued items shall be priced according to the approved accounting policy. The Value of the issued items shall then be included under the relevant expenditure category and the quantity and value shall be deducted from the warehouse stock and accounting records.
6. The items issued but later returned to the warehouses shall be recorded in an electronic or paper voucher. Their value shall be deducted from the same relevant expenditure category under which they were deducted upon issuance. The quantity of the returned items shall then be added to the warehouses' custody and their value recorded in the warehouses 'accounting books.
7. The storekeepers shall see to it that the used items are stored in a place other than the place where the new items are stored. They shall also make sure that the flammable materials are stocked in special warehouses that observe their nature.

11.17.9. 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.

11.17.10. Partial, Surprise Stocktaking

1. The internal audit office shall conduct a surprise partial stocktaking as part of the 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 authorised by him to look into the matter.

12. Risk Management Policy

Policy Name	RISK MANAGEMENT		
Policy Owner	Chief Operating Officer	Reviewed	Annually
Approved By	Chancellor	Approved Date	Sep. 2017

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.

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

12.1. Academic Risk

12.1.1. 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

12.1.2. 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.

12.1.3. 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.

12.2. Teach-out

12.2.1. 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.



12.2.2. Risk Mitigation Methodology

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.

12.3. 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.

12.3.1. 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.

12.3.2. 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.

12.3.3. 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.

12.3.4. Availability of Sustainable Training Locations

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

12.4. Financial Risk Management

12.4.1. 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.

12.4.2. 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.

12.4.3. 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.

12.4.4. 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

12.5. Information Technology Risk Management

12.5.1. 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.

12.5.2. 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.

12.5.3. 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.

12.5.4. 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.

12.5.5. 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.

12.5.6. 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.

12.5.7. 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

12.6. Facilities Risk Management

12.6.1. 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.

12.6.2. 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.

12.6.3. 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 & 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.

12.6.4. 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 & 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.

12.6.5. 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 & Security

13. Auxiliary Enterprise Policy

Policy Name	AUXILIARY ENTERPRISE		
Policy Owner	Manager, Office of Finance	Reviewed	Annually
Approved By	Chief Operating Officer	Approved Date	Jul.. 2017

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 campuses of the University.

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.

13.1. 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.

13.2. Statement

- The director of the University Facilities & Services Office has the responsibility to control, manage and supervise all business activities on his/her respective campus.
- The University Facilities & 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 campuses of the University.
- 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 required not doing 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:
 - 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.
 - Notwithstanding, subsection (i) 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.
 - 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 (i) 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 campus of the University. 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 & 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 & 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 & 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.

C. Faculty and Professional Staff Policies



جامعة عجمان
AJMAN UNIVERSITY

1. Faculty and Professional Staff Role Policy

Policy Name	FACULTY AND PROFESSIONAL STAFF ROLE		
Policy Owner(s)	Manager, Office of Human Resources Senior Officer, Faculty Affairs	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

1.1. Purpose

- Defines the role and responsibilities of the faculty in academic affairs of the University and ensures their academic freedom.
 - Defines the role and responsibilities of the professional staff in the University.
 - Defines the role of faculty in governance.
- Defines the organizational and reporting relationships for faculty and professional staff.
- Explains desired standards of professional conduct and ethics that must be followed by the faculty and professional staff.

1.2. Statement

1.2.1. Faculty Role & Responsibility

Faculty Role:

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

Faculty Responsibilities:

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

Teaching

Faculty members are required to:

- Teach AU students in classes and in laboratories (as applicable).
- Establish course policies and requirements.



- Establish clear grading standards, in order to fairly evaluate students based on their academic performance.
- Advise students on an ongoing basis outside regularly scheduled classes.
- Supervise graduation (capstone) projects.
- Supervise students' research projects, such as term papers and practical works, within the rules and regulations of the Department, College and University.
- Maintain professional demeanor within and outside the classroom.
- Adhere to the University administrative policies and procedures on issues related to exams, incompletes, withdrawals, drop-adds, and so on.

Research

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

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

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

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

Service

Service includes:

- 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).



2. Employment Policy

Policy Name	EMPLOYMENT		
Policy Owner(s)	Manager, Office of Human Resources Senior Officer, Faculty Affairs	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

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

2.1. Purpose

- To ensure that only qualified and competent faculty members with the required qualifications and experience are hired by the University.
 - Define the academic ranks of faculty members and establish procedures for their periodic evaluation.
 - Restrict the proportion of part-time faculty members and ensure that part-time faculty members have the same qualifications as full-time faculty members.
- Establish procedures for professional development of faculty members and define their intellectual property rights.
- Specify terms of contract including its renewal and termination.

2.2. Statement

- AU does not discriminate on the basis of sex, race, religion, color, age, national origin, or marital status.
- AU prefers to employ faculty members from a variety of educational and cultural backgrounds who have obtained their terminal degrees from internationally recognized and broadly respected institutions and have contributed to, or demonstrated their potential for quality teaching, research and service to educational institutions and the community.
- The three main criteria used in the selection of new faculty members are as follows:
 - Teaching
 - Research
 - Outreach/ community engagement/ consultancy

- All faculty members employed by the University must be competent in spoken and written English. They must also be familiar with the credit hour system of higher education and able to work with students from a variety of backgrounds.
- All faculty members must be competent in the use of computers for teaching and research purposes. They must also be familiar with academic advising and be able to contribute to the development of courses and curricula.
- AU employs faculty members in the following academic ranks, as explained in detail in the Faculty Handbook:
 - Professor
 - Associate Professor
 - Assistant Professor
 - Lecturer
- Part-time faculty may be employed in accordance with the ratio of part-time to total faculty (maximum 25%) and the teaching load regulations specified by the Ministry of Education (up to 6 credit hours per part-time faculty member).
- 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 (see Faculty Handbook for a copy of the contract).
- The contract specifies conditions (academic or moral violations and misconduct) that may result in the termination of the faculty member's contract. These conditions are explained in detail in the Faculty Handbook. The faculty member will be given the opportunity to present his/her case before a final decision is taken about the termination of the contract.
- The faculty member is bound to abide by the published policies, rules, and procedures stipulated by the University. He/she shall honestly, diligently, and to the best of his/her abilities carry out assigned duties under the contract. These duties include attending scheduled teaching sessions and meetings (classroom and/or laboratory), academic advising, conducting examinations, carrying out research, offering expertise, and contributing in students training.
- The faculty member shall not accept any other professional appointment outside AU without prior approval from the University.
- The faculty member shall abide by the confidentiality regulations of the University and strive for professional development on a regular basis.
- The faculty member is entitled to the remuneration package mentioned in his/her contract along with specified annual increments. The package includes Basic Salary, Experience Allowance, University Allowance, Transportation Allowance, Furniture Allowance, Housing Allowance, Tuition Fee Allowance, Rare Specialization Allowance (as applicable), and Annual Tickets for travel by air. The University also provides health insurance for all faculty members. In addition, the faculty member is entitled to End of Service Gratuity (one-month basic salary for every year of service at the University).
- The faculty member is entitled to annual leave, sick leave, and maternity leave as per University regulations specified in the contract.
- The evaluation policy and procedures adopted by AU ensure thorough appraisal of each faculty member at the selection stage, for renewal of contract, and for promotion in the academic rank. The detailed procedure and criteria used for evaluation of faculty members are explained in the Faculty Handbook.



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

2.3. Employment Procedure

- The Dean of a College determines the needs for new faculty members. For a newly created position, the approval of the Vice-Chancellor for Academic Affairs is required, while for an existing position left vacant by a faculty member, the termination report and/or approved resignation letter is needed to initiate the recruitment process.
- For every vacant position, the Dean of the concerned College, in consultation with the head of the academic department or unit, shall provide written information concerning the needed specialization, minimum qualifications, and required experience. The Dean presents the needs analysis to the Vice Chancellor for Academic Affairs for approval. After getting the official approval for a vacant position, it is the responsibility of the Human Resources (HR) Department at AU to complete the recruitment process. The recruitment steps are described in the following:
 - a. The Office of Human Resources prepares the description for the vacant position on the basis of the information received from the Dean of the concerned College and posts it on the University website. The Office of Human Resources also gets it advertised in other selected publications.
 - b. The Office of Human Resources receives and acknowledges the receipt of résumés/applications and retains them for a minimum period of six months. The same applies to all communication and correspondence between the applicant and the University during the selection process. Résumés/applications of qualified applicants are then forwarded to the concerned Dean.
 - c. The Dean, in consultation with the head of the concerned department or unit, forms a search committee comprised of qualified faculty members to conduct the search, review applications, and make recommendations to the Dean. The search committee evaluates all applicants in accordance with the general selection criteria adopted by AU and the specific requirements of the vacant position. The search committee then submits the names of at least three short-listed applicants along with the basis and rationale for their selection. The Dean forwards the list of recommended applicants to the Office of Human Resources.
 - d. The Dean or Deputy-Dean must conduct personal interviews with each of the short-listed applicants residing in the U.A.E. Short-listed applicants from outside the U.A.E. are interviewed by the Dean or Deputy-Dean via Skype or videoconference, as appropriate. All interviewed applicants are informed of the outcome soon after the results are finalized. The Dean forwards the name of the selected

applicant, along with the merit list of the remaining short listed applicants, to the Office of Human Resources for necessary action.

- e. The Office of Human Resources validates the authenticity of all degrees and letters of references provided by the selected applicant. It then prepares a letter of appointment and gets it approved from the concerned authority. The Office of Human Resources is responsible for dispatching the official letter of appointment along with other documents providing information about general policies of the University, resident visa and medical requirements, academic ranks and their salary ranges, other financial benefits, length and type of contract, etc.



3. Staff Development Policy

Policy Name	STAFF DEVELOPMENT		
Policy Owner(s)	Manager, Office of Human Resources Senior Officer, Faculty Affairs	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

Ajman University staff development aims to enhance and support excellence in academic practice and offers many opportunities for faculty to collectively and individually fulfill their responsibility to improve instructional effectiveness. AU provides ongoing support to staff professional development by encouraging their participation in academic conferences, technology training, professional meetings, and engage in research activities both inside and outside the UAE. *For details about the Staff Development Policy adopted by AU, please refer to Appendix 1 of the Faculty Handbook.*

4. Staff Evaluation Policy

Policy Name	STAFF EVALUATION		
Policy Owner(s)	Manager, Office of Human Resources Senior Officer, Faculty Affairs	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs Chief Operating Officer	Approved Date	Jul. 2017

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. *For details about the Staff Evaluation Policy adopted by AU, please refer Chapter “performance Review” from page 26 to 29 and Appendix 3 of the Faculty Handbook.*

5. Promotion Policy

Policy Name	PROMOTION		
Policy Owner(s)	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Chancellor	Approved Date	Jul. 2017

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 document explains these conditions, the promotion criteria, and the related procedures.

Faculty members considered in this document for promotion to a higher rank include assistant professors and associate professors on full-time (resident) appointment at AU. 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:

5.1. 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. Level of participation and effectiveness in continuing education programs.
- f. Effectiveness in supervising senior projects, summer training, and Coop Programs (if applicable).
- g. 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 should demonstrate significant research achievements in their fields of specialization. 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 books, book chapters, publications in reputed journals and proceedings of prestigious conferences, written evaluations by leading figures in their specific research field, awards, prizes, inventions, patents, and other recognitions.

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.

5.2. Section I: General Provisions & 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.

5.3. 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.

5.4. 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.

5.5. Section IV: faculty Promotions**Article 12: Promotion Criteria**

A faculty member may apply for promotion to the rank of Associate Professor and Professor, 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. Has published at least four refereed research papers in reputed and ranked journals, in case of application for promotion to the rank of Associate Professor, and six research papers in case of application for promotion to the rank of Professor.
 - a. The number of research papers published by the same refereed journal shall not exceed two except for very high-quality journals.
 - b. The contents of the research papers 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.

- c. In case of application for promotion to the rank of Associate Professor, at least one of the submitted research papers must be either individually authored by the applicant or with only one co-author. For other papers, the total number of authors must not exceed four. A paper will be considered to have 50% weight if the number of authors for that paper is five or more. Two papers with 50% weight shall be considered equivalent to one paper in terms of fulfilling the requirement of number of publications.
- d. In case of application for promotion to the rank of Professor, at least two of the submitted research papers must be either individually authored by the applicant or with only one co-author. For other papers, the total number of authors must not exceed four. A paper will be considered to have 50% weight if the number of authors for that paper is five or more. Two papers with 50% weight shall be considered equivalent to one paper in terms of fulfilling the requirement of number of publications.
- e. Only one unpublished research paper that has been accepted for publication in a reputed and ranked journal or prestigious conference proceedings may be submitted for consideration.
- f. Only one specialized (translated or authored) book or book-chapter admitted for publication shall be accepted.
- g. At most two refereed papers published in the proceedings of prestigious scientific conferences shall be accepted.
- h. 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.
- i. 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.
- j. At least two of the submitted research papers must be authored while the applicant is employed at Ajman University.
- k. 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.
- l. 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 have a database classifying the journals in various categories (such as A*, A, B, C).

Article 13: Promotion Procedure

The promotion procedure 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.

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, 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 (four for promotion to the rank of Associate Professor and six for promotion to the rank of Professor), the papers with highest scores will be considered by the Dean to give a final percentage grade. For each paper with 50% weight, the scores of two such papers will be considered equivalent to one paper.

- **Service:**

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

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

Article 16: Success Criterion

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

Article 17: Decision by the VCAA

1. The Dean, after determining the percentage score of the applicant in each category as well as the overall weighted score in percentage, shall make a recommendation based on the above-mentioned success criterion and submit the recommendation along with all evaluation documents (including reviewers' reports) to the VCAA for further action.
2. The VCAA shall forward the applicant's file (including the report of the Dean and the reviewers' reports) to the FPC. The FPC will review the qualifications of the applicant as required for promotion, fulfilment of all evaluation process requirements, and accordingly prepare a report taking into consideration the Dean's recommendation. Otherwise, the FPC will notify any short-comings in the review process to the Dean and request for re-consideration. Finally, the FPC shall submit its observations and recommendation to the VCAA.
3. The VCAA shall issue a decision on the promotion application following the recommendation given in the FPC report, provided that the applicant is still working in the same post at the time the decision is issued.
4. In case of favorable decision by the VCAA, the applicant shall be promoted to the corresponding academic rank in accordance with Article 18 below.
5. The decision of promotion shall be issued in both Arabic and English, in two originals, one for the promoted faculty member and the other for the Office of Human Resources. A soft copy thereof shall be sent to the Documentation Centre for archiving purposes.

Article 18: Effects of Promotion

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

Article 19: Re-application for Promotion

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

5.6. 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.

5.7. 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

N o.	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

6. Personnel Policy

Policy Name	PERSONNEL		
Policy Owner	Manager, Office of Human Resources	Reviewed	Annually
Approved By	Chief Operating Officer	Approved Date	Jul. 2017

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.

6.1. 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.

6.2. Statement

- 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.

7. Faculty Workload Policy

Policy Name	FACULTY WORKLOAD		
Policy Owner(s)	Manager, Office of Human Resources Senior Officer, Faculty Affairs	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

7.1. Statement

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

The assignment of workloads is therefore organized on the following principles:

- For non-terminal degree holders teaching in undergraduate certificate, diploma, associate degree and baccalaureate programs, the maximum teaching load is 15 credit hours per semester.
- The maximum teaching load for full-time faculty members is 12 credit hours per semester for undergraduate programs and 9 credit hours per semester for graduate programs.
- The teaching load of part-time faculty members is limited to a maximum of 6 credit hours per semester.
- The release time from teaching for the Deans of Colleges is 6 credit hours, while it is 3 credit hours for the Heads of Academic Departments.

In compliance with Stipulation 8 in the CAA standards, the University has initiated the process of modifying its course load assignment to faculty members. Starting with the College of Information Technology in spring 2017-18, all credit hours of any course that includes an embedded practical component (e.g. Lab) will be entirely and exclusively assigned to faculty members holding terminal degrees in the discipline. The said faculty members will be totally responsible for their assigned courses. They will also be responsible for overseeing the Teaching Assistants who will be helping them in some of the lab and/or tutorial parts of the course. Teaching Assistants will not have any part of the course credit hours assigned to them.

The University requires a minimum number of registered students in a section to be opened. However, if under exceptional circumstances, a section is to be opened with a number of registered students below the required minimum number, the section will be counted for the instructor as a regular section within his/her regular load, regardless of the number of students registered in that section.

7.2. Adjunct Faculty Members and Overload Rates Matrix

The AFM's classification criteria intends to help the College Deans in determining the pay category (i.e. Category A or B):

7.2.1. Externals: Adjunct Faculty Members

(Category A)

- AFM's employed by well-established universities /prestigious organizations.
- AFM's gained their degrees from reputed universities with very high standards.
- Wide experience with certain preferred skills and /or qualifications.

Difficulty /scarcity to hire and retain in a specific specialization.

Rates (Per All Semesters)

	One Hour Course		Two Hours Course		Three Hours Course	
	Theory	Lab/Tutorial	Theory	Lab/Tutorial	Theory	Lab/Tutorial
PhD holder	AED 4480	AED 2880 *	AED 8960	AED 5760 *	AED 13440	AED 8640 *
Master holder	AED 3840	AED 2560	AED 7680	AED 5120	AED 11520	AED 7680
Bachelor holder	AED 2560	AED 1760	AED 5120	AED 3520	AED 7680	AED 5280

(Category B)

Rates (Per -All Semesters)

	One Hour Course		Two Hours Course		Three Hours Course	
	Theory	Lab/Tutorial	Theory	Lab/Tutorial	Theory	Lab/Tutorial
PhD holder	AED 3200	AED 1920 *	AED 6400	AED 3840 *	AED 9600	AED 5760 *
Master holder	AED 2400	AED 1600	AED 4800	AED 3200	AED 7200	AED 4800
Bachelor holder	AED 1760	AED 1200	AED 3520	AED 2400	AED 5280	AED 3600



7.2.2. Regular Faculty Members: Residents, Visitors:

Rates (Per All Semester)

	One Hour Course		Two Hours Course		Three Hours Course	
	Theory	Lab/Tutorial	Theory	Lab/Tutorial	Theory	Lab/Tutorial
PhD holder	AED 4480	AED 2880 *	AED 8960	AED 5760 *	AED 13440	AED 8640 *
Master holder	AED 3840	AED 2560	AED 7680	AED 5120	AED 11520	AED 7680
Bachelor holder	AED 2560	AED 1760	AED 5120	AED 3520	AED 7680	AED 5280

7.2.3. Master Program: Regular faculty members and Externals (Adjuncts):

Rates (Per All Semesters)

	One Hour Course	Two Hours Course	Three Hours Course
Full Time Faculty Member	<i>AED 4800</i>	<i>AED 9600</i>	<i>AED 14400</i>
Externals (Adjunct)	<i>AED 4800</i>	<i>AED 9600</i>	<i>AED 14400</i>

- Rate of practical hour of Master Program – College of Pharmacy is AED 180.
- Rate of practical hour of Master Program – Institute of Energy, Water and Environment is AED 180.
- Rate of practical hour of Master Program – College of Dentistry is AED 200.

Note: Supervised Learning (Office Hour): AED 1000 for each B.Sc. course, AED 2000 for each MBA course.

8. Professional Requirements for Teaching Policy

Policy Name	PROFESSIONAL REQUIREMENT FOR TEACHING		
Policy Owner(s)	Manager, Office of Human Resources Senior Officer, Faculty Affairs	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

This policy ensures that:

- Preparation and qualifications of all faculty members 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).

8.1. 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.
- With the exception of very special cases as specified by the UAE Ministry of Education, the terminal degree is a doctoral degree. For very special cases such as in art, design, and design-related disciplines, the terminal degree could be a Master's degree, an MFA, or a Master of architecture.
- 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;
 - 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, the exceptions to the requirement of a terminal degree are:
 - limited to applied fields for which a faculty member has a Master's degree in the teaching field or a PhD in a related field, and who also has extensive senior level experience in the applied field or experience in the applied field coupled with internationally recognized professional association certificates;
 - fully justifiable in terms of education, training, and professional experience;
 - restricted to no more than 10% of the faculty;
 - reported at the beginning of each semester to the CAA for approval.

9. Compensation Policy

Policy Name	COMPENSATION		
Policy Owner	Manager, Office of Human Resources	Reviewed	Annually
Approved By	Chief Operating Officer	Approved Date	Jul. 2017

The policy main purpose is to provide attractive, effective and market relevant remuneration and benefits rates to professional faculty positions, in order to attract and retain highly qualified and experienced faculty members for all University Colleges. In addition, this policy intend on making Faculty members aware of their rights regarding salary and benefits provided by the University.

9.1. 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).

9.1.1. AU Faculty Salary Structure and Benefits

Itemization		ACADEMIC RANK			
		Lecturer	Assistant Professor	Associate Professor	Professor
1	Salary Range	14,000-20,500	17,000-26,000	19,500-31,000	23,500-39,000
2	Housing Allowance (Monthly))	4,333	5,417	5,417	5,417
3	Furniture Allowance (over 2 years)	25,000	30,000	30,000	30,000
4	Education Allowance (maximum 3 children)	Max. 60,000	Max. 100,000		
		1 st child 50% , 2 nd child 25%, 3 rd child 25%			
5	Ticket Allowance (for Expatriates)	Faculty member + 4 dependents Economy Class, except for Deans who are entitled to business class			
6	Health Insurance	100% coverage for Faculty + 4 dependents			
7	Social allowance (Applicable only to UAE nationals)	40,000	80,000	90,000	100,000



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End of Service Benefit (For Expatriates)

One month basic salary for each year of service

- The faculty member is entitled to a monthly remuneration payable at the end of each Gregorian calendar month.
- The monthly remuneration comprises of Basic Salary and Allowances in accordance with the specified scales depending upon the academic rank, experience, and as specified in individual contracts.
- The faculty member shall also be entitled to the following benefits in accordance with the University's policies and bylaws:
 - Housing allowance
 - Furniture allowance
 - Health insurance
 - Education Allowance
 - Airline tickets
 - End-of-service gratuity
 - Sickness leave
 - Annual leave
 - Public holidays
- **Housing Allowance:** The faculty member shall be entitled to an annual housing allowance which shall be payable in monthly installments. The amount of this allowance depends on whether the faculty member is a Ph.D. holder or Master's degree holder.
- **Furniture Allowance:** The Faculty Member shall be entitled to the furniture allowance paid fully in one installment with the first salary. The eligibility of this amount is depreciated over two continuous years of work for the University; i.e. 50% per year.
- **Medical Benefits:** The faculty member, his/her spouse and three dependent children (male dependent age up to 18 and female dependent age up to 22), shall be entitled to a private medical health insurance scheme; provided by the University in accordance to its medical policy, that might be amended from time to time at the sole discretion of the University. A visiting Faculty member medical health insurance shall be 100% covered by the University, whilst the faculty member's spouse medical health insurance shall only be covered 50% by the University.
- **Annual Education Allowance:** AU resident faculty member is eligible for education allowance for up to three children, from KG1 to Grade 12, provided the children are UAE resident and are enrolled in UAE schools. The distribution of the allowance amount (depending upon the faculty member's rank) for each child shall not exceed the eligible cap. The education allowance is paid in two equal installments.
- **Air Tickets:** AU faculty member, the faculty member's spouse and three dependent children shall be entitled to one annual round trip economy class air ticket each to the faculty member's home country after completion of each year of service. This allowance shall be paid through cash transfer on the employee's employment anniversary, based on the rate provided by Office of Public Relations. The faculty member is not entitled to claim a pro rata portion of the annual air tickets if the faculty member's employment terminates (for any reason whatsoever) prior to completion of a full year's service.

- End of Service Benefit: AU faculty member is entitled to an end of service gratuity calculated as thirty (30) days Basic Salary for each completed year of service, provided that the end of service gratuity shall not exceed the amount of two years' salary.
- The faculty member shall (in addition to any statutory public holidays announced for the United Arab Emirates) be entitled to paid holiday in accordance with the provisions relating to holiday leave as set out in the University's academic calendar, provided that such holiday leave shall not exceed the specified number of calendar days in each holiday year. The University's holiday year for faculty member is the academic calendar year.
- Subject to compliance with the University's procedures relating to the notification and certification of periods of absence from work, the faculty member shall continue to be paid salary and to receive other benefits provided under his/her contract during any periods of absence from work due to sickness, injury or other incapacity in accordance with the UAE labor Law.



10. Faculty and Staff Disciplinary Policy

Policy Name	FACULTY AND STAFF DISCIPLINE		
Policy Owner	Manager, Office of Human Resources	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs Chief Operating Officer	Approved Date	Jul. 2017

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.

10.1. 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.

10.2. Statement

AU expects its faculty members and professional staff 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.

Disciplinary action shall be taken in accordance with the specified policies and procedures. Serious disciplinary violations may even result in termination of the contract after carrying out a thorough investigation and completing the applicable procedure.

10.2.1. 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.

10.2.2. Misconduct

- The University expects its faculty members and professional staff 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. Continuous failure in realizing the performance criteria.
 - b. Use of indecent language or resorting to threats when dealing with another person in the workplace.
 - c. Unauthorized use of equipment inside the University.
 - d. Disturbing the course of work by adopting an undesirable attitude.
 - e. Absence without permission.
 - f. Not abiding by the University policy regarding smoking in the workplace or not abiding by the safety rules.
 - g. For more serious cases of misconduct such as, but not limited to the following, the University reserves the right to terminate the contract of a faculty at any time it deems appropriate:
 - h. Refusal to accomplish tasks stipulated upon in the employment contract and/or the internal laws of the University.
 - i. Submission of false certificates and documents.
 - j. Professional negligence, which causes material or moral damage to the University.
 - k. Intentional breaching of the internal published laws of the University.
 - l. Divulging a professional secret.
 - m. Any substance abuse
 - n. Racial or sexual harassment or any other form of harassment to any student, employee or visitor to the University.
 - o. 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.
 - p. 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.
 - q. Use of indecent words or committing physical actions against someone inside the campus without being in a state of self-defense.
 - r. Violation of the moral ethics of the UAE society.
- After receiving a claim of misconduct against a faculty member, the University shall inform the concerned faculty member about what is claimed against him/her and give him/her the proper opportunity to explain his/her position prior to taking any action against the concerned faculty member.
- The University may suspend the concerned faculty member temporarily with pay until the investigation procedures are completed regarding the alleged misconduct of the faculty member.
- The misconduct claim will be thoroughly investigated by a Committee formed by the University Chancellor. The concerned faculty member will be given full opportunity to defend him/herself, present the evidence, call the witnesses, and submit the arguments orally or in writing. He/she will also have the right of cross-examination.



- A finding of professional misconduct requires that a majority of the members of the Committee conclude that the faculty member has committed professional misconduct as charged. Otherwise, the charges of misconduct will be considered as unsubstantiated.
- At the completion of the investigation, the Committee will communicate its findings and recommendations to the University Chancellor who will take the final decision.

In case the charges of misconduct are established, the sanctions will include but not limited to the following: censure; a fine or a reduction in salary; suspension from the University without pay for a specified period; termination of the contract and dismissal from the University. The type of sanction varies from one case to another depending upon the seriousness of the case and is subject to the consideration of the University based on findings and relevant fact

11. AU Ethics Policy

Policy Name	AU ETHICS		
Policy Owner	Manager, Office of Human Resources	Reviewed	Annually
Approved By	Chief Operating Officer	Approved Date	Jul. 2017

11.1. Statement

This ethics policy states AU standards of conduct so that members of AU community understand the ethical issues related to their actions and behavior. AU ethics policy affirms its commitment to obey the law of the country, and to perform all activities with integrity and without deception. In addition, it affirms its commitment to preserving the cultural and traditional values of UAE society.

11.2. AU ethical policy standards

AU expects all faculty and staff to adhere to the following ethical standards:

- conduct themselves with integrity by being fair, honest and treat University community members with dignity and respect.
- avoid any interest or activity that is in conflict with the performance of their duties and report conflicts of interest which are unavoidable.
- maintain confidentiality of information and avoid the use of the University information for personal benefit.
- perform their duties with utmost honesty to serve the University and students.
- preserve, protect and ensure the proper use of University assets and belongings.
- strive for professional development and help other to develop as well.
- respect the cultural values and heritage of the UAE society
- comply with all the laws, rules and regulations in UAE as well as the policies and regulations of the University.
- uphold the highest ethical norms in conducting scientific research by preserving the environment and heritage of the UAE society.
- AU community members should not accept gifts exceeding the amount of AED 500/-



12. Faculty and Professional Staff Grievance Policy

Policy Name	FACULTY AND PROFESSIONAL STAFF GRIEVANCE		
Policy Owner(s)	Manager, Office of Human Resources	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

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.

12.1. 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.

12.2. 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.

12.3. 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.

13. Graduate Assistants (GA) Policy

Policy Name	GRADUATE ASSISTANTS		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2018

A Graduate Assistant (GA) is an individual who serves in a support role while completing his/her graduate studies at AU. For each graduate program offered by AU, the University provides financial support to GA's in terms of tuition fee waiver and a monthly stipend.

The AU may offer graduate students the following two types of assistantships:

- Sponsored Graduate Teaching Assistant (SGTA)
- Sponsored Graduate Research Assistant (SGRA)

13.1. Sponsored Graduate Teaching Assistant (SGTA)

The sponsored graduate teaching assistantship is awarded on a competitive, semester-by-semester basis. SGTA must be enrolled as full-time student at AU for the duration of their assignments in a graduate program where thesis is required as part of the degree completion requirements. SGTA students shall keep their status as active in the following semesters provided that their CGPA was more than 3.0 in the previous semester. Some graduate programs may establish additional and/or higher standards. Each semester (Fall and Spring) SGTA will register up to 9 credit hours and are expected to work no more than 20 hours per week as a part time teaching assistants (TAs) in the College. AU shall pay the tuition fee for their registered courses of up to 9 credit hours per semester for Fall and Spring semesters and a stipend for their work as a part time teaching assistant. However, in some special cases, as approved by the Dean of Graduate Studies and Research, the work load as a part time TA could be only 10 hours per week. For such SGTA students with 10 hours per week work as TAs, AU will only pay tuition fee for 4.5 credit hours/semester and a stipend proportionally.

13.2. Sponsored Graduate Research Assistant (SGRA):

The sponsored graduate research assistantship is awarded on a competitive basis for up to 2 graduate students per program. The SGRA student is working in the University as full-time graduate student without any other part-time or full-time job.

- An SGRA shall register for 6 credit hours/semester and AU shall pay the tuition fee for 6 credit hours if they maintain their CGPA more than 3.0 in the previous semester and that their research supervisor/Dean has certified their performance as part time RA at least satisfactory in the previous semester. Each semester (Fall and Spring) they will register 6 credit hours and work for 20 hours/week as part time RAs in the College. In addition, AU shall pay a stipend for their work as part-time RAs. In some special cases, as approved by the Dean of Graduate Studies and Research, the work load could be



only 10 hours/week and accordingly AU shall pay tuition fee for 3 credit hours and SGRA shall be paid a proportional stipend.

- With the approval of the Dean of Graduate Studies and Research, an SGRA may register for 9 credit hours/semester and AU shall pay the tuition fee for 9 credit hours if (1) they maintain their CGPA more than 3.5 in the previous semester, and (2) their research supervisor/Dean has certified their performance as part time RA to be Good or higher in the previous semester. In some special cases, as approved by the Dean of Graduate Studies and Research, the work load could be only 10 hours/week and they shall be accordingly paid a proportional stipend. As for those SGRAs who are working for 10 hours/week as part time RA, the University shall pay the tuition fee for 4.5 credit hours if (1) they register for 9 credit hours, (2) they maintain their CGPA more than 3.5 in the previous semester and (3) their research supervisor/Dean has certified their performance as part time RA to be Good or higher in the previous semester.

14. Intellectual Property Policy

Policy Name	INTELLECTUAL PROPERTY		
Policy Owner(s)	Legal Advisor	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

This policy provides guidance for faculty (academic and general) and students (undergraduate and graduate) on the practices of Ajman University (AU) with respect to Intellectual Property. Matters considered include the nature of Intellectual Property, its ownership, exploitation and the specific procedures adopted within the University.

The goal of AU's research is to inform and improve its teaching and produce outcomes of benefit to the UAE and the world. Intellectual property generated by AU researchers should be used to maximize the flow of benefits to society, particularly the UAE, and to enhance the reputation of the University and encourage and assist faculty in their careers.

The University is committed to providing an environment where scholarship and innovation can flourish and those participating can be justly rewarded for their efforts. At the same time, recognizing that certain Intellectual Property is developed as a result of the environment provided by the University and that special relationships exist between the University and its faculty and students, the University wishes, where appropriate, to gain benefit from the activity, with the benefits flowing on to future generations of faculty and students.

In developing the present policy, which draws on past practice, the University has been guided by Intellectual Property policies elsewhere and by statements provided by stakeholders, including the World Intellectual Property Organization.

The University reserves the right to modify or add to this policy at any time, provided that such change will only apply to works, inventions and other subject-matter in which Intellectual Property Rights subsist that come into being after the effective date of the change.

14.1. Interpretation

In this Policy:

- Course Materials means all materials produced in the course of or for use in teaching in any form (including digital, print, video and visual material) and all Intellectual Property in such materials and will include lectures, lecture notes and material, syllabi, study guides, assessment materials, images, multi-media presentations, web content and course software.
- Exceptional University Resources means resources of the University which, for the avoidance of doubt, includes facilities, funds, services, equipment, paid leave, faculty time and support faculty in excess of those normally used or available to faculty for producing Course Materials.
- Intellectual Property means all statutory and other proprietary rights (including rights to require information be kept confidential) in respect of inventions, copyright, trademarks, designs, patents, plant breeder's rights, circuit layouts, procedures, trade secrets and all other rights as defined by the UAE laws.



- Specifically Commissioned means where particular consideration (which includes, but is not limited to, financial consideration or relief from teaching or other duties) is provided or offered by the University by agreement.

14.2. Intellectual Property Ownership

Ownership by the University of Intellectual Property

Except as otherwise agreed in writing by an authorized officer of the University, or stated in this Policy, the University asserts legal and beneficial ownership of Intellectual Property:

- a. Created by academic or general faculty in the course of their employment by the University.
- b. Created by students of the University where:
 - Generation of the Intellectual Property has required use of University resources.
 - Generation of the Intellectual Property has resulted from the use of pre-existing Intellectual Property owned by the University.
 - The Intellectual Property belongs to a set of Intellectual Property generated by a team of which the student is a member.
 - The Intellectual Property has been generated as a result of funding provided by or obtained by the University.
- c. Created by Visitors, Adjunct or Conjoint appointees where:
 - Generation of the Intellectual Property has required use of University resources.
 - Generation of the Intellectual Property has resulted from the use of pre-existing Intellectual Property owned by the University.
 - The Intellectual Property belongs to a set of Intellectual Property generated by a team of which this person is a member and other members are University employees.
 - The Intellectual Property has been generated as a result of funding provided by or obtained by the University.

In the absence of any written agreement to the contrary, Visitors, Adjunct and Conjoint appointees who create Intellectual Property falling under this clause will be treated as academic faculty for the purposes of this Policy.

Ownership of Course Materials and scholarly works not specifically commissioned or created with use of Exceptional University Resources

The University does not assert its right to ownership of any Intellectual Property in scholarly books, articles, Course Materials, or other scholarly works or subject matter generated (whether in written or any other form) by faculty or students, other than:

- Where Specifically Commissioned by the University.
- Where produced with the assistance of Exceptional University Resources.

The faculty member grants to the University a non-exclusive right to use such Course Materials, works or subject matter generated by that faculty member for the University's teaching purposes should the faculty member leave the University.

Ownership of Course Materials Specifically Commissioned

The University asserts legal and beneficial ownership of all Course Materials, which are Specifically Commissioned. The University may, at its discretion, give the creator(s) of Specifically Commissioned

Course Materials a non-exclusive license to use the Course Materials for teaching purposes only provided that such a license will not extend to use of the Course Materials for a course in direct competition with a course of the University.

Where the University does not commercialize commissioned Course Materials the creator may request assignment of the rights to the creator for commercialization by that individual (or team) subject to agreement including a non-exclusive license to the University for educational purposes.

Ownership of Course Materials created with the use of Exceptional University Resources

Where Course Materials are or may be created in whole or in part with the use of Exceptional University Resources, a written agreement should be developed between the faculty member and the University as soon as practicable. The agreement should specify ownership of the Intellectual Property in the Course Materials and rights to revenue in the event of any commercialization of the Course Materials and any Intellectual Property generated from the production of the Course Materials.

In the absence of a written agreement, the University will own the Course Materials, but the faculty member(s) who provided content for the Course Materials will be entitled to compensation in case of commercialization.

Ownership of creative works

The University does not assert any right or claim to ownership of the Intellectual Property in artistic or other creative works created or composed by its faculty or students, except where these works have been Specifically Commissioned by the University, or are created in whole or in part with the use of Exceptional University Resources.

Assignments of Intellectual Property

The University and faculty members will execute, in a timely manner, all assignments of Intellectual Property necessary to give effect to the ownership provisions set out above and to allow for the use and commercialization of the Intellectual Property by the University in accordance with this Policy.

Effect of this Policy on existing arrangements

Despite any contrary provision in this Policy, all contracts and arrangements existing at the time of the adoption of this Policy between the University and governments, corporations or other external organizations, which relate to Intellectual Property and in which the University has an interest; will remain in full force and effect, including those where the ownership of developed Intellectual Property is vested in a third party.

Assignment of ownership by the University

The University reserves its right to transfer the ownership of its Intellectual Property to third parties in accordance with this Policy, or otherwise, where practicable, following consultations with the creator(s) of the Intellectual Property.

Dealings by faculty members or students

Except where expressly permitted under this Policy no faculty member or student may apply for his/her own name, assign, license or otherwise deal with Intellectual Property, which is the property of the University without the written consent of the University.

14.3. Students

Conditions applicable to students

Where students are involved in activities that could lead to the development of Intellectual Property over which the University or a third party may claim ownership, the following conditions will apply:



- Participation in the research should not interfere with the assessment of the student's academic performance.
- The student's rights in Intellectual Property in any thesis or publications arising from the research should be protected.
- The student should receive considerations and returns commensurate with those provided for faculty, including a say as to the integrity of the Intellectual Property.
- The student's future career choices should not be closed by the choice to work in a confidential area of research.
- It should be made clear to students what the nature of the work is before they undertake the activity that leads to the claimable Intellectual Property.
- Any confidentiality and ownership of Intellectual Property agreement should only be signed by students after they have been first advised to obtain independent advice.
- Any delays in publication of the thesis that arise from a confidentiality agreement should be limited to a maximum of two years.

Student research at other Institutions

Where students of the University may be involved in research at institutions, which are affiliated, with the University or at institutions other than the University, agreement should be reached with that institution regarding the rights of the student to Intellectual Property with a view to ensuring that the student's rights under this Policy are maintained as far as practicable.

Supervisors

Where reasonably practicable, supervisors electing to supervise a student in an area likely to lead to claimable Intellectual Property should ensure a confidentiality and Intellectual Property assignment agreement is completed with the student before the work is commenced.

14.4. Exploitation of Intellectual property Owned by The University

Completion of a Notification Form

Where a faculty member or student develops Intellectual Property over which the University claims ownership (excluding Intellectual Property referred to in Section 3.2 and 3.5), the faculty member or student must complete and return a confidential notification form (Notification of Intellectual Property Development) to be provided by the office of the Vice Chancellor for Academic Affairs.

Importance of non-disclosure for Intellectual Property Protection

In order for the University to comply with laws of Intellectual Property, faculty members and students should be conscious of the need to avoid premature disclosure of research results to third parties, prior to completing a notification and consideration of the need to obtain intellectual property protection that specifies the rights that will accrue to the faculty member or student and the University.

Sharing in the benefits of Commercialization

The faculty member or student whose creative work is commercialized will be compensated on a pre-agreed amount and will waive his rights to the creative work to the University.

Student creators of Intellectual Property will be treated equivalently to faculty members in determining their share of benefits flowing from the commercialization of Intellectual Property.

Commercialization with a Third Party

The University will consult with the creator of the Intellectual Property before determining the appropriate commercialization pathway to be taken. This may include the filing of patent applications, the identification of possible licensees or the formation of a limited liability company to exploit the Intellectual Property.

14.5. Moral Rights

The University recognizes the moral rights of the originators of Intellectual Property in accordance with the UAE copyright laws in force. These include the right of fair attribution of authorship or invention, the need for work not to be altered or used in such a way that it harms the reputation of the originator, and an opportunity for the originator to be involved in determining the final outcome of his/her labors.

The University will use its best endeavors to assist authors in asserting their moral rights in cases where clear breaches of accepted academic conventions occur.

14.6. Resolution of Disagreement over IP Ownership

In the event of a disagreement, the Research Ethics Committee will be the arbiter as to whether the University has a legitimate claim to Intellectual Property developed by faculty or students. Where a member of faculty or a student believes that he/she may have grounds to contest the University's claims to ownership of any Intellectual Property, they should bring the dispute to the attention of the Research Ethics Committee at the time that the development of the Intellectual Property is notified or as soon as practicable. Should he/she disagree with the decision of the Research Ethics Committee, they may ask AU Vice Chancellor for Academic Affairs to refer the matter to an independent expert, who will be agreed upon by all the parties. The decision of this independent expert will be conducted according to all principles of procedural fairness, and shall be regarded as final and binding on all parties. The process of determining the ownership of Intellectual Property should be completed expeditiously and, except in unusual circumstances, within one month.

All matters associated with the resolution of Intellectual Property disputes under this Section will be held confidential.

14.7. Copyright Material

Faculty members and students of the University are required to follow the guidelines set out below when doing any of the following with copyrighted material:

- Photocopying
- Copying of computer programs
- Copying of sound recordings, films and broadcasts; and public performance of literary, dramatic or musical works, and playing sound recordings or films and videos in public.

Photocopying

Photocopying of copyright books, periodicals, journals, newspapers, artistic works, plays, scripts, graphs, directories and other literary, dramatic, music and artistic work is prohibited under the Copyright Law in UAE, except where:

- Copyright has run out.



- Copyright owner has given permission or license.
- A copy is made for purpose of research or study, but only of a 'reasonable portion' usually not more than 10%.
- Unpublished Dissertation/Thesis held in a library - required for research and study.

Copying of Computer Programs

The reproduction of computer programs is prohibited by the Copyright Law in UAE, except where:

- Copyright owner has given permission or a license to copy.
- Backup copy is made - but only for use as a backup - except where there is a notice on the program prohibiting making a backup copy and only by the person who purchased the original and within the terms of the license.
- It is also illegal to adapt a computer program.

Copying of Sound Recordings

Films and videos, the copying of a record, compact disc, tape recording, a film or video is prohibited by the Copyright Law, except where:

- Copyright has run out.
- Copyright owner has given permission or license to record.
- Recording a sound, film or video for the purposes of research and study, but only if 'fair dealing' rules are observed relating to only a 'reasonable portion' unless the record, disc, tape, film or video is unavailable for purchase at an ordinary commercial price.

Copying of Radio and Television Broadcasts

The copying of radio and television broadcasts is only permitted for the 'private and domestic use of the person by whom it is made'.

Performing Works or Playing Sound Recordings or Showing Films in Public

The acting out, recitation or performance of a literary, dramatic or musical work or causing a sound recording to be heard or a film to be shown in public is prohibited by the Copyright Law in UAE, except where:

- All the copyrights have expired.
- The copyright owner has licensed or permitted the work to be performed or the recording or film to be played or heard.
- The performance or playing is used for educational instruction.

15. AU Fundraising Policy

Policy Name	FUNDRAISING		
Policy Owner	Director, Office of Development	Reviewed	Annually
Approved By	Vice Chancellor for Advancement and Communication	Approved Date	Jan. 2018

15.1. 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.

15.2. 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.

15.3. Authority & Responsibilities

15.3.1. The Chancellor

AU Chancellor is the principal fundraiser for the University.



15.3.2. Vice Chancellor for Advancement and Communication (VCAC)

The Office of the VCAC oversees and regulates all fundraising activities and functions as per the contents of this Policy and other relevant AU guidelines. All proposals and/or action plans for any fundraising drive/campaign/effort needs to be approved by the VCAC.

15.3.3. 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 & 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

15.3.4. 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 organise an annual Fundraising Retreat prior to any formalisation of strategies, action plans or large-scale fundraising drive.

15.3.5. 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.

15.3.6. 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.

15.3.7. 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.

15.4. Gift Policies & 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.

15.4.1. Fundraising Campaigns & Gift Solicitation

Fundraising campaigns, in line with AU strategic priorities, will be undertaken by the Office of Development, which has the authority to mobilise 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 mobilisation 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.

15.4.2. 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 specialised 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.

15.4.3. 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 organisations, individuals, partners ...etc. Gifts will be entered under the relevant codes and donors will be added to the relevant database in due course.

15.4.4. 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.

15.4.5. Gift Entry & Recording

Gifts will be entered and recorded as per the financial guidelines of the University.

15.4.6. Named Endowed Scholarships

A named endowed scholarship fund can be established and named after the donor, or in honour 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).

15.4.7. 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 honour 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).

15.4.8. 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-specialisation 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 honour of living individuals or in memory of departed ones.

The University will guarantee this professorship for 25 years (subject to renewal).

15.4.9. 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.

15.4.10. 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.



15.4.11. Annual Gifts/Planned (Deferred) Gifts

AU will accept annual and planned gifts, which will be added to the AU Annual Fund for disposal.

15.5. Donor Policies & 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 recognised according to the criteria specified herein and based on any prior agreements made with the donors.

15.5.1. Donor Recognition

All donations made to AU will be recognised by written communication from the Office of Development, or the Chancellor, for major gifts. Other forms of donor recognition will include:

1. Special events organised 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 & Annual Dinner

15.5.2. 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.



15.5.3. Donor Privacy & 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.

15.5.4. Due Diligence

Ajman University will undertake all reasonable measures to:

1. ascertain the sources of all donations made by individuals, corporate entities, and other organisations;
2. ensure that such donations are made for purposes consistent with the University's ethical principles and strategic plan;
3. ensure that no issues, legal or reputational, are raised by the acceptance of these donations.

The University has adopted/adapted the "Know Your Donor" principles developed by the UK-based Charity Commission, as follows:

- Identify – know who you are dealing with
- Verify – identities and motives against facts/evidence
- Know – the organisation's or individual's business
- Know – the reasons for the donations and match them against the history of the individual/organisation

15.5.5. 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.

15.6. Compliance

Fundraising at Ajman University shall apply the highest level of compliance to the legal framework for fundraising activity as applicable to UAE organisations and, in particular, higher education institutions.

15.6.1. 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.



15.6.2. Statement of Ethics

The policy herein has been checked against the International Statement of Ethical Principles in Fundraising, retrieved from: <https://goo.gl/hcKtBz>

² The AFP is based in Canada and operates in Mexico as well. It has been in the not-for-profit fundraising domain since the 1960s.

Appendix 1



جامعة عجمان
AJMAN UNIVERSITY

Named Endowed Scholarship

AU Donors

Contribute AED 1M and receive the following benefits:

- Named scholarship, in perpetuity, and the ability to set certain criteria for student eligibility and selection (e.g. country of origin, major, gender).
- Invitation to participate in the scholarship selection process and to meet new awardee(s).
- Company logo posted on the AU sponsor webpage with a hyperlink to the company's website for one year (corporate sponsors).
- Acknowledgment of contribution in a press release.
- VIP invitation to the AU Annual Dinner.
- Invitation to a special Donors' Dinner hosted by BoT members.
- Prominent recognition at the next commencement ceremony.
- Invitation to commencement ceremonies, with reserved seating.
- Recognition in the next Annual Report.

Appendix 2



جامعة عجمان
AJMAN UNIVERSITY

Named Endowed Professorship

AU Donors

Contribute AED 5M and receive the following benefits:

- Named endowed professorship in a discipline and specialisation that interests the donor.
- Invitation to participate in the selection process of the awardee.
- Acknowledgment of contribution in a press release; and subsequent references to the donor in line with press mentions of the awardee.
- VVIP invitation to the AU Annual Dinner.
- Invitation to a special Donors' Dinner hosted by HH Chairman of the AU Board of Trustees.
- Prominent recognition at the next commencement ceremony.
- VVIP invitation to commencement ceremonies and other AU special events.
- Recognition in the next Annual Report.



/ajmanuniversity

development@ajman.ac.ae

Appendix 3



جامعة عجمان
AJMAN UNIVERSITY

Current Fund Contribution

AU Donors

Contribute AED 300K and receive the following benefits:

- Ability to choose fund and/or funds to deposit the donation into*.
- Ability to choose to allocate the donation to a named current fund scholarship.
- Company logo posted on the AU sponsor webpage with a hyperlink to the company's website for one year (corporate sponsors).
- VIP invitation to the AU Annual Dinner.
- Invitation to a special Donors' Dinner hosted by BoT members.
- Mention of donation at the next commencement ceremony.
- Invitation to commencement ceremonies, with reserved seating.
- Recognition in the next Annual Report.

*Graduation Fund, Research Fund, Visiting Professorship Fund, Visiting Scholarships Fund, Social Innovation Fund.



/ajmanuniversity

development@ajman.ac.ae



Appendix 4

Named Current Use 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 honour of living individuals or in memory of departed ones. **The University will guarantee this scholarship for its duration and will be subject for renewal by mutual agreement between the donor and the University. One student will benefit from the scholarship every 4-5 years.**

Part C: Selection Criteria for Named Current Use

Scholarship Fund Please select your scholarship:

☐ **Non-restricted scholarship (this means that anyone can apply and it is up to the University Scholarships Committee to decide on the awardee)**

Restricted scholarship (if this option is ticked, please tick all that apply below)

³ Currently available to undergraduates only.

Scholarship recipient must 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 honour of:	_____
☐	In memory of:	_____

Information about the individual(s) or organisation(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*) _____ & September (*Insert Year*) _____ & 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 publicise 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



16. Community Engagement Policy

Policy Name	COMMUNITY ENGAGEMENT		
Policy Owner	Manager, Office of Community Engagement	Reviewed	Annually
Approved By	Vice Chancellor for Advancement and Communication	Approved Date	Jul. 2017

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.

16.1. 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 & international levels by:
 - Organizing various seminars & 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 & 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 & 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 & 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 & 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 & Scholarship Division.
 - Create a climate that promotes continuous improvement.
 - Create and update the financial aid roles & 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.

16.2. 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.



16.2.1. 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 programmes 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 organise 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 Affairs, organise 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.

D. RESEARCH POLICIES



جامعة عجمان
AJMAN UNIVERSITY



1. AU Research Strategy

Policy Name	AU RESEARCH		
Policy Owner	Deanship of Graduate Studies & Research	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

Ajman University (AU) 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:

- Nurture a culture of research across all disciplines and at both graduate and undergraduate levels.
- 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.
- Increase AU's national, regional, and international ranking in research and scholarship by hiring, retaining, and rewarding outstanding research-active faculty.
- Improve the research infrastructure and funding mechanisms at AU to promote research across all disciplines.
- Enhance cooperative research through research collaboration, strategic partnerships, and engagement with industry, business, and government organizations.
- 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.
- Recruit outstanding graduate students through scholarships and awards from internal as well as external sources.
- Enhance the quality of existing graduate programs and introduce new graduate programs reflecting global trends and catering to local and regional market needs.
- Encourage and support organization of research conferences and research competitions.
- Provide concrete incentives (financial and non-financial) for faculty members to conduct high-quality and high-impact research.

1.1. Research Expectation

Each faculty member at AU is expected to publish at least one peer-reviewed research paper per academic year.

1.2. Key Performance Indicators (KPIs):

- Starting from 2017-18 academic year, the number of research papers published in Scopus-indexed or other prominent journals per college per academic year shall exceed one-third of the number of faculty members in each college. This number shall gradually increase over the coming years and by 2022, the number of research papers published in Scopus-indexed or other prominent journals per college per academic year shall exceed two-thirds of the number of faculty members in each college.
- Each college shall set a target for submitting proposals for external research funds. Starting from 2017-18 academic year, each college shall submit at least two research proposals for externally funded grants. Starting from 2018-19 academic year and thereafter, each college shall submit a minimum of four research proposals per academic year with at least one proposal being successful in obtaining external research funds.
- Starting from 2018-19 academic year, each college shall initiate at least one interdisciplinary research per academic year.



2. By-Laws for Deanship of Graduate Studies and Research

Policy Name	BY-LAWS FOR DEANSHIP OF GRADUATE STUDIES & RESAERCH		
Policy Owner	Deanship of Graduate Studies & Research	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

2.1. Definitions

Article 1

These by-laws will be known as By-Laws for Deanship of Graduate Studies and Research and shall be effective as of the date of signing the by-laws by the Vice-Chancellor for Academic Affairs of Ajman University.

Article 2

The definitions/terminologies used in these by-laws are as follows:

The University: Ajman University (AU)

The Chancellor: The Chancellor of Ajman University

VCAA: Vice-Chancellor for Academic Affairs

The Deanship: The Deanship of Graduate Studies and Research (DGSR)

The College: The Academic College

The Dean: The Dean of Academic College

The Council: The Council for Graduate Studies and Research (CGSR)

Council Member: Member of the Council for Graduate Studies and Research

DDGSR: Deputy-Dean for Graduate Studies and Research at Fujairah Campus

CRC: College Research Committee

REC: Research Ethics Committee

RCC: Research Conferences Committee

2.2. The Deanship of Graduate Studies and Research (DGSR)

Article 3

The Deanship shall be headed by a Dean appointed by the Vice-Chancellor for Academic Affairs (VCAA). The Dean shall report to the VCAA.

Article 4

The Dean shall coordinate with the Colleges for promoting excellence in graduate studies and research through well-defined policies, efficient procedures and funding mechanisms as well as providing support for developing effective partnerships and collaborations.

Article 5

The Deanship of Graduate Studies and Research shall have its vision, mission, and goals as approved by the University.

Article 6

A Deputy-Dean for Graduate Studies and Research (DDGSR) at Fujairah Campus shall be appointed by the Director of Fujairah Campus in consultation with the Dean of Graduate Studies and Research.

2.3. Council for Graduate Studies and Research (CGSR)

Article 7

The Dean of Graduate Studies and Research is authorized to form the Council for Graduate Studies and Research (CGSR) with the main purpose of developing policies and procedures for significantly enhancing the quality, relevance, volume, and impact of research carried out at AU and for enhancing the effectiveness of existing graduate programs and development of new graduate programs. It shall take all necessary steps to promote research and graduate studies at AU.

Article 8

The Council shall comprise of one faculty member from each College. The Council members shall have academic rank of Associate Professor or higher. It shall also include one representative Assistant Professor.

Article 9

The Council members shall contribute in achieving the vision, mission, and goals of the Deanship of Graduate Studies and Research. They will play a leading role in promoting graduate studies and research in their respective colleges. Each member of the Council serves as a liaison between the Council and her/his college.

Article 10

The Council shall meet at least twice per semester. The Council shall approve the policies for graduate studies and scientific research, funding mechanisms, and research projects to be funded by the Deanship. The Council shall also recommend the annual research budget, which shall then be approved by the VCAA.

Article 11

The Council shall monitor all graduate programs offered by AU and make recommendations to College Deans to continuously improve their quality and relevance. The Council shall also encourage and support the initiation of new graduate programs by all Colleges.

Article 12

The DDGSR shall form a “sub-council” of CGSR at Fujairah Campus in consultation with the Deputy-Deans of Colleges and the Director of Fujairah Campus. The Fujairah sub-council shall have one member from each College and it shall implement the policies and procedures of the DGSR and assist in achieving its vision, mission, and goals.

2.4. College Research Committees (CRCs)

Article 13

The Council Members shall form College Research Committees (CRCs) in their respective colleges with the approval of the College Deans. The member of the sub-council at Fujairah campus, representing a particular college, shall be part of the CRC. An additional member from Fujairah campus may be included in CRC



by the College Dean. The CGSR Members shall head the CRCs in their respective colleges. The CRCs shall work under the supervision of respective College Deans.

Article 14

The CRC shall include at least one member from each department in the College.

Article 15

The CRC shall be responsible for implementing the policies and procedures of the DGSR and CGSR in each college. It shall also carry out evaluation of submitted research proposals, make recommendations to the CGSR to fund the selected research projects, and review the progress and final reports of funded projects.

Article 16

The CRC, under the guidance of the College Dean, shall develop strategic research plan and policy for the college including the research objectives and KPIs. The CRC of each college is responsible for developing clearly formulated and measurable research criteria against which faculty members will be assessed.

Article 17

The CRC shall monitor the progress of all funded research projects in the College. The Head of CRC shall report the recent developments of its Committee to CGSR and provide periodic feedback and suggestions for continuous improvement of the functioning of the concerned CRC.

2.5. Research Ethics Committee (REC)

Article 18

The Dean of Graduate Studies and Research shall form a Research Ethics Committee (REC), in consultation with College Deans, to ensure that research work involving human or animal objects follows specific ethical guidelines consistent with national and international standards. The Dean of Graduate Studies and Research shall appoint the Head of the REC. The REC shall be approved by the VCAA.

Article 19

The REC shall develop the regulations, guidelines, and approval mechanism for issuing a certificate of ethical clearance (CEC) to research projects involving human or animal objects. These regulations and guidelines shall be approved by the DGSR and the VCAA.

Article 20

All research work conducted by faculty and graduate students at AU that requires ethical approval of the research project must obtain a certificate of ethical clearance (CEC) from the REC before initiating the project. This requirement is applicable to both funded and non-funded projects.

2.6. Research Conferences Committee (RCC)

Article 21

The Dean of Graduate Studies and Research shall recommend to the VCAA names of members for Research Conferences Committee (RCC). The VCAA shall form this committee headed by the Dean of GSR. The main task of RCC is to make recommendations concerning participation in academic conferences for presenting a research paper.

Article 22

The role and functioning of RCC shall be in accordance with the “Policy on Research Conferences”.

2.7. Research Budget for Internal Funding

Article 23

Ajman University shall provide an annual research budget to the DGSR for promoting research at AU. The Dean of Graduate Studies and Research shall submit a budget proposal to the VCCA as approved by the CGSR.

Article 24

Each college shall specify and get approved its research budget. Once the research budget has been officially approved for each college, it shall be transferred to the account of DGSR. The DGSR shall provide the funding for all approved research projects, based on the recommendations of the CRC and the Council for Graduate Studies and Research (CGSR), and approval of the Dean of GSR and VCAA (as applicable). The funding for approved research projects for each college shall be provided from the allocated research budget for each college. The DGSR may also utilize its own budget to promote research at AU.

Article 25

The DGSR shall invite research proposals from all faculty members at least once and at most twice per year. It shall follow systematic, transparent, and uniform procedures through its CRCs to evaluate the submitted proposals and award or recommend research grants.

Article 26

The Dean of Graduate Studies and Research shall have the authority to approve funding for research projects with an upper limit of AED 50,000 per project. The funds will be granted only for projects recommended by the CRCs and the CGSR. The maximum duration for completion of such projects shall be 12 months.

Article 27

For research projects with funding requirement exceeding AED 50,000, the Dean of Graduate Studies and Research shall submit a request for funding approval to the VCAA provided that the project has been recommended by the CGSR.

Article 28

Funding for research projects with maximum funding requirement of AED 15,000 can be directly approved by the College Deans upon the recommendation of the CRCs. Such projects do not require the approval of the DGSR. The funding for such projects shall be provided by the DGSR upon the recommendation of the College Dean. This funding will be provided from the approved research budget of the college requesting the grant.

Article 29

The research proposals may include budget for purchasing equipment/hardware, software, consumable materials and components, etc.

Article 30

The research proposals may include budget allocated for collection of data or field testing, etc.

Article 31

The research proposals may include budget for presentation of papers, resulting from the research projects, at prestigious scientific conferences. Similarly, if some high-quality research journals require publication charges or charges for extra pages, this amount may be included in the proposed budget.

Article 32

The research proposal may include budget to support a part-time Research Assistant (RA). However, if the recommended RA is from outside UAE, special permission is required from the VCAA.



Article 33

The research proposal may include budget to support the visit of a research scholar to AU if so required by the proposed research project.

Article 34

The CRCs and CGSR have the authority to recommend approval of project budget which is different than that proposed by the Principal Investigator (PI).

Article 35

The DGSR may not award some research proposals due to limited budget available for internal research funding. The research grants shall be awarded on merit and considering the available research budget for each college.

2.8. External Grants

Article 36

The DGSR shall develop policies and procedures for obtaining external grants, managing externally funded projects and their continual follow-up.

Article 37

A University Research Account (URA) shall be established for managing the accounts of all externally funded research projects. For each project, a separate sub-account will be opened. The accounts will be managed by the DGSR in cooperation with the Principal Investigator (PI) for each externally funded project.

Article 38

The DGSR has the authority to establish and develop ties with various national, regional, and international funding agencies and organizations. It will also provide administrative support to interested faculty members to apply for research grants in accordance with relevant University rules and regulations as well as the requirements of the corresponding funding agency.

Article 39

The DGSR will coordinate with all relevant centers in the University for promoting and implementing externally funded research projects.

Article 40

The DGSR will establish links with national, regional, and international sources for obtaining research grants for AU faculty. It will also coordinate with the Office of Development in order to establish ties with prospective individual donors for research projects conducted at AU. For this, the DGSR shall receive full support from the academic colleges.

2.9. Scientific Publications

Article 41

The DGSR shall support and facilitate scientific publications in all its forms. It shall develop policies to encourage faculty to author books. It shall also provide support for publishing proceedings of scientific conferences held at Ajman University and other research-related publications.

2.10. Collaborative Graduate Studies and Research

Article 42

With the assistance of the Office of International Academic Affairs and all academic colleges, the DGSR shall promote collaborative graduate studies and research with high-ranking international academic institutions.

Article 43

The collaborative graduate studies and research agreements with international academic institutions shall be made with the purpose of promoting graduate studies and research activities at AU as well enhancing University's reputation and ranking. The agreements must be consistent with AU policies and should clearly state the objectives of the agreement, its duration and process of renewal, responsibilities of both parties, in particular the financial responsibilities, and other issues of legal importance.

Article 44

The DGSR shall develop policies and procedures for promoting exchange visits with international institutions with the objective of enhancing the quality of graduate programs and research at AU.

2.11. Research Groups/Centers

Article 45

The DGSR shall encourage and assist in the formation of research groups, within and among disciplines, that focus on research fields with strategic importance to AU and its academic colleges and partners.

Article 46

The College Deans shall be responsible for identifying select number of fields for Research Groups, getting its approval from the College Council, and recommending these to the DGSR for approval.

Article 47

The research groups shall serve as a nucleus for future research centers and centers of excellence.

Article 48

AU shall provide separate budget for supporting the research infrastructure and research activities of the selected Research Groups approved by the DGSR.



3. Deanship of Graduate Studies and Research Policies

Policy Name	DEANSHIP FOR GRADUATE STUDIES AND RESEARCH		
Policy Owner	Deanship of Graduate Studies & Research	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

3.1. Vision

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

3.2. 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.

3.3. Goals

- Promote excellence in graduate studies, research and scholarly work.
- Ensure consistency and compliance of all graduate programs with relevant policies.
- 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.
- 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.
- 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.
- Assist colleges in recruiting outstanding graduate students through graduate scholarships and awards from internal as well as external sources.
- Encourage multidisciplinary research among various colleges and departments.

- Enhance the research culture in AU by organizing 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.
- Cooperate with colleges in developing joint graduate programs with international academic institutions.
- 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.

3.4. Council for Graduate Studies and Research (CGSR)

Purpose of CGSR

The Council for Graduate Studies and Research (CGSR) was established on January 16, 2017 under the Deanship of Graduate Studies and Research (DGSR) with the mandate of developing policies and procedures for significantly enhancing the quality, relevance, volume, and impact of research carried out at AU and for enhancing the effectiveness of existing graduate programs and development of new graduate programs. It shall take all necessary steps to promote research and graduate studies at AU.

A sub-council has been formed at Fujairah campus. Its operations are supervised by the Deputy Dean of Graduate Studies and Research stationed at Fujairah Campus who is appointed by the Director of Fujairah Campus in consultation with the Dean of Graduate Studies and Research. The CGSR sub-council at Fujairah Campus shall include a member from each college as appointed by the Deputy-Deans of the colleges at Fujairah Campus.

Role of Council Members

The Council and sub-council members will contribute to achieving the vision, mission, and goals of the Deanship of Graduate Studies and Research. They will play a leading role in promoting graduate studies and research in their respective colleges.

3.5. College Research Committee (CRC)

A College Research Committee (CRC) shall be formed in each college. Each college Dean is responsible of the composition of the CRC of her/his college. It shall have at least one member from each department in the college. The purpose of CRC is to take all necessary actions to promote research in the college including internally- and externally-funded research. These actions include development and implementation of procedures for internally-funded research projects, mechanisms for projects evaluation and payment of compensation to researchers for externally-funded projects, establishing and maintaining contacts with external funding sources, spreading awareness among all faculty members about research funding opportunities, providing administrative support to faculty members for obtaining external funds, and continual follow-up of research projects. The CRC shall encourage and support all research activities in the College.

The CRCs shall be responsible for implementing the policies and procedures of the DGSR and CGSR in their respective colleges, evaluation of submitted research proposals, making recommendations to the CGSR to fund the selected research projects, and reviewing the progress and final reports of funded projects. The CRC, under the guidance of the College Dean, shall develop strategic research plan and policy for the college



including the research objectives and KPIs. The CRC of each college is responsible for developing clearly formulated and measurable research criteria against which faculty members will be assessed.

3.6. Research Ethics Committee (REC)

A Research Ethics Committee (REC) shall be formed under the DGSR to ensure that research work involving human or animal objects follows specified University guidelines. The REC will develop and apply policies and guidelines in accordance with all applicable national and international standards. These policies and guidelines shall be approved by the Dean of Graduate Studies and Research and the VCAA. The Dean of Graduate Studies and Research shall appoint the Head of REC with the approval of the VCAA.

All research work conducted at AU that requires ethical approval of the research project must obtain a Certificate of Ethical Clearance (CEC) from the REC before initiating the project. This requirement is applicable to both funded and non-funded projects.

3.7. Research Conferences Committee (RCC)

The main task of RCC is to make recommendations concerning participation of faculty members in academic conferences for the purpose of presenting a research paper. The role and functioning of the RCC shall be in accordance with the “Policy on Research Conferences”.

3.8. Research

Policies

- AU considers research among the most important responsibilities of its faculty members. It encourages, facilitates, and supports research activities in all disciplines.
- All AU faculty members are expected and encouraged to conduct research and engage in scholarship as well as publish and share their findings.
- Faculty members can conduct academic or practice-oriented research in their area(s) of specialization and participate in multi-disciplinary research. They can also conduct pedagogic research.
- Each faculty member is expected to publish at least one peer-reviewed research paper per academic year in a journal of high impact factor or high-quality category (such as A*, A, B, and C) or proceedings of prestigious research conferences. Such classification will be made by the CRC of each college and approved by the DGSR.
- The research performance of faculty will be a key factor in their annual evaluation as well as for their promotion to a higher rank.
- College Deans, in coordination with the DGSR, are responsible for developing and implementing a concrete research plan and a strategy aligned with AU strategic plan. In coordination with the CRCs, they shall define research objectives for their college and KPIs for measuring the achievement of these objectives.
- Each college shall specify and get approved its research budget. Once the research budget has been officially approved for each college, it shall be transferred to the account of DGSR. The DGSR shall provide the funding for all approved research projects, based on the recommendations of the CRC and the Council for Graduate Studies and Research (CGSR), and approval of the Dean of GSR and VCAA

(as applicable). The funding for approved research projects for each college shall be provided from the allocated research budget for each college. The DGSR may also utilize its own budget to promote research at AU.

- The DGSR shall provide grants for research projects on college-wide competitive basis in accordance with its policies for internal research funding.
- AU shall support and facilitate Collaborative Research conducted in cooperation with public and private institutions and industry.
- The University, through the DGSR, shall provide assistance to faculty members for obtaining research grants from external sources.
- The DGSR shall develop and implement a Distinguished Visiting Researcher (DVR) program which aims at inviting eminent scholars to give lectures at AU, and to interact with faculty and students on research projects.
- Researchers shall follow the highest ethical standards in all aspects of their research work. They shall also abide by the applicable confidential requirements.
- Researchers shall abide by the University policies on Intellectual Property Rights.
- Outstanding researcher in every College will be awarded release time of 3 credit hours for the complete academic year with the approval of the College Dean and the Dean of GSR.
- The College Deans shall submit an annual report on research accomplishments to the DGSR and the Office of Institutional Planning and Research (OIPR). They shall also submit to DGSR a plan regarding proposed research projects for the next academic year.
- A Research Ethics Committee (REC) shall be formed under the DGSR to ensure that research work involving human or animal objects follows specified national and international standards and guidelines.
- Outstanding researchers will be recognized and rewarded by the University.
- AU will not tolerate research misconduct including fabrication, falsification or plagiarism in carrying out research or publishing its results.

Procedures

- The DGSR, in collaboration with College Research Committees, will take all necessary actions to promote research at AU including internally- and externally-funded research. These actions include development and implementation of procedures for internally-funded research projects, mechanisms for projects evaluation and payment of compensation to researchers for externally-funded projects, establishing and maintaining contacts with external funding sources, spreading awareness among all faculty members about research funding opportunities, providing administrative support to faculty members for obtaining external funds, and continual follow-up of research projects, etc.
- The DGSR shall form a Research Ethics Committee (REC), at the University level, with well-defined role and objectives.
- The DGSR shall develop a systematic procedure for rewarding outstanding researchers at AU on a yearly basis.
- Each College Dean, in consultation with the College Research Committee (CRC), will submit research projects planned for the following academic year and accordingly propose the required research budget.
- The DGSR will hold workshops/seminars to spread awareness about research policies and procedures as well as funded research opportunities.



- All support departments including HR and Finance shall be made aware of the new policies, especially those involving Research Assistants. They shall also be directed to provide full support for promoting research at the University.

3.9. Internal Funding

Policies

- AU will provide funds to support research projects in all colleges on a competitive basis.
- All faculty members are eligible to apply for internal research funds either on individual basis or by forming research groups and teams, including interdisciplinary teams.
- Priority for allocation of funds will be given to proposals with potential publications in journals of high impact factors or high-quality category (such as A*, A, B, and C) or proceedings of prestigious research conferences as recommended by CRCs and approved by the Deanship of Graduate Studies and Research. Preference will also be given to projects that are likely to receive external funds in the near future.
- Projects focusing on important research areas for the Emirate of Ajman, UAE and the Arab region will also have high priority.
- The competition for the award of funds will be held at least once and at most twice per academic year by the DGSR.
- No financial compensation will be provided to faculty members from internal research funds. However, compensation can be provided to students and others working on the funded project as Research Assistants.
- The research funds may be utilized for the purchase of components, parts, software or other resources needed for successful completion of the project, as approved by the DGSR.
- AU shall provide sufficient budget to the DGSR to cater to the needs of high-quality research projects in all colleges.
- The Dean of Graduate Studies and Research shall have the authority to approve funding for research projects with an upper limit of AED 50,000 per project. The funds will be granted only for projects recommended by the CRCs and the CGSR. The maximum duration for completion of such projects shall be 12 months.
- For research projects with funding requirement exceeding AED 50,000, the Dean of Graduate Studies and Research shall submit a request for funding approval to the VCAA provided that the project has been recommended by the CGSR.
- Funding for research projects with maximum funding requirement of AED 15,000 can be directly approved by the College Deans upon the recommendation of the CRCs. Such projects do not require the approval of the DGSR. The funding for such projects shall be provided by the DGSR upon the recommendation of the College Dean. This funding will be provided from the approved research budget of the college requesting the grant.
- The DGSR will monitor the progress of funded research projects through CRCs headed by the Members of CGSR in their respective colleges.

Procedures

- The DGSR, with input from all members of the CGSR, will develop and maintain a complete mechanism for competitive award of research funds on an annual basis or at most twice yearly.

- Once the mechanism has been established, the DGSR will announce the deadline and procedure for applying for internal research funds.
- The DGSR will follow the specified procedure for evaluation of all submitted proposals.
- The evaluations will be done college-wide by the CRCs.
- Final approvals will be communicated to the Principal Investigator, Head of the Department, and the College Dean by the DGSR.
- The maximum fund for a research project awarded by DGSR is limited to AED 50,000. For projects seeking higher funding amounts, approval of the Vice-Chancellor for Academic Affairs (VCAA) will be sought.
- The Principal Investigator will coordinate with the concerned CRC for utilization of approved funds in accordance with specified procedures.
- The Principal Investigator will be responsible for submitting progress report(s) as well as the final report to the DGSR. The Principal Investigator will also be responsible for closing all accounts related to the internally-funded research project at the completion of the project.
- For research projects with research budget of up to AED 15,000, project evaluation will be carried out by the College Research Committee and the award will be granted by the College Dean for purchase of components, parts, materials, etc. as well as payment to Undergraduate Research Assistants. The College Research Committee shall monitor the progress of all projects awarded by the College Dean.

3.10. External Funding

Policies

- All faculty members are encouraged to seek external research funds. Such grants shall be recognized in the annual assessment of faculty members.
- AU will facilitate the process of obtaining research funds from external agencies or other sources through the DGSR and other offices.
- The DGSR will establish and develop ties with various national, regional, and international funding agencies and organizations.
- The DGSR will inform faculty members about forthcoming research grant opportunities and their deadlines. It will also 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.
- For externally-funded projects, the researchers are eligible to include, if permitted by the funding agency, compensation for their time and effort spent during weekends and in the evenings of working days. The compensation amount can then be included in the proposed budget submitted to the DGSR.
- The researcher(s) can get release time of 3 credit hours in their teaching load per semester, for one academic year, by paying the University, through an external research grant, 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 year for the concerned faculty member.
- AU has the right to receive compensation to cover direct and indirect expenses related to the project. Such expenses include, but not limited to, the overhead cost for its human resources and facilities. As such, the University can add overhead charges up to maximum 20% of the project budget proposed by



the Principal Investigator. This amount will be added in the proposed budget and the final budget will be then submitted to the funding agency.

- The DGSR will be responsible for signing the agreement in accordance with all relevant University policies including intellectual property rights.
- The DGSR shall maintain close links with all relevant centers in AU in order to provide opportunities for faculty members to obtain externally funded research projects.

Procedures

- The DGSR will develop detailed criteria regarding externally funded projects. Such criteria will ensure that the individual faculty member or a research group seeking external funds has the necessary expertise and access to required facilities and resources to undertake the project and successfully complete it. It will also ensure that the project under consideration is consistent with the mission and goals of the University and has secured the approval of the Research Ethics Committee (REC), if so required.
- The DGSR will prepare appropriate documents and proposal approval forms and provide them to all College Research Committees along with procedures for proposal submission and its evaluation.
- Accepted proposals will be subsequently completed by the researcher or research group in all aspects taking into account the specific requirements of the funding agency and following the financial guidelines of the DGSR. The DGSR, after adding the overhead charges in the proposed budget and carrying out final internal review, will submit the proposal to funding agency prior to the specified deadline.
- The DGSR will initiate and contribute in negotiations between the Principal Investigator and the funding agency.
- Upon award of external funding for proposed project, the DGSR will inform the Principal Investigator, the Head of the Department, College Dean, and all concerned departments.
- A University Research Account (URA) shall be established for all externally-funded research projects. For each project, a separate sub-account will be opened. The subaccounts will be managed by the DGSR in cooperation with the Principal Investigator (PI) for each project.
- The DGSR will ensure that the project is started on time and funds are readily available to the Principal Investigator as and when required in accordance with the pre-defined timeline.
- The DGSR, through the relevant CRC, will monitor the progress of the project comparing it with the specified targets defined in the project proposal.
- At the completion of the project, the Principal Investigator will submit the final report to the DGSR that shall be forwarded to the funding agency.

3.11. Research Assistants

Policies

- To facilitate and promote research at Ajman University, researchers and research teams are eligible to hire part-time Research Assistants (RAs) through their internally- and externally-funded research projects.
- The Research Assistants (RAs) could be graduate students, recent graduates, or highly talented senior undergraduate students.

- Senior undergraduate students can also be hired as RAs for research projects directly awarded by the College Dean (for research budget up to AED 15,000), especially in departments that do not offer any graduate program.

Procedures

- The PI and his/her research team are authorized to announce the position, short-list the candidates, and select the RA as per the requirements of the research project and the nature of tasks to be accomplished by the RA.
- The payment to RAs could vary from AED 25 to 40 per hour depending upon their qualifications and experience.
- If the RA is from AU, the maximum number of allowed working hours is 15 hours/week, after getting the approval of the concerned HOD and Dean.
- The minimum CGPA required for RA position is 3.0 out of 4.0 for recent graduates and undergraduate senior students.
- Undergraduate RAs shall be full-time students either in their final year of studies or they have completed all course work and are engaged in their mandatory internship.
- The appointment of RAs is generally for Fall and Spring semesters. However, they may also be appointed to work during the summer semester upon approval from the DGSR.
- The selected RA shall fill the Research Assistant Hiring Form and the PI shall submit this form to the Head of the CRC.
- The PI will be informed by the Head of CRC after the approval for the specified TA has been obtained from Ajman University Office of Human Resources.
- The payments to RAs will be made after written approval of the PI and in accordance with the University regulations.
- In case of non-satisfactory performance, the RA will be given a written notice by the PI. If there is no noticeable improvement in the performance, the PI can request the DGSR through the Head of the concerned CRC for termination of the appointment. The RA will be informed accordingly by the DGSR.
- The RA shall abide by all rules and regulations of AU, including those related to research work, intellectual property, and patents.



Appendix

Deanship of Graduate Studies and Research (DGSR) Application for Internal Research Grant

Guidelines:

- 1) Completely fill the below application form and submit it, by the specified deadline, to the Head of your College Research Committee (CRC).
- 2) The duration of the research project should not exceed 12 months.
- 3) The research grant approved by the DGSR is limited to AED 50,000 per project. For higher amounts, the approval of Vice-Chancellor for Academic Affairs (VCAA) shall also be required.
- 4) Research Assistants (RAs) could be graduate students in AU or other academic/research institutions within or outside UAE, recent graduates, or highly talented senior students. Estimated amount for per hour payment to RAs could vary from AED 25 to 40 depending upon their qualifications and experience. If the RA is from AU, the maximum number of allowed hours/week is 15, after getting the approval of the concerned HOD and Dean. If the RA is from outside UAE, special permission is required from the VCAA.
- 5) Evaluation criteria will consider, among other factors, the quality of research proposal, required budget, and expected number of publications in journals of high impact factor or high-quality category (such as A*, A, B and C) or proceedings of prestigious conferences as classified by the CRC in each College and approved by the DGSR.
- 6) Teamwork, inter-disciplinary teams, and teams including members from industry, academic institutions, etc. are encouraged.
- 7) Internal research funding is quite competitive and research funds will be awarded for each college based on a uniform evaluation criteria.
- 8) For research proposals requiring clearance from the Research Ethics Committee (REC), kindly attach the approval letter from REC.

College:

Research Duration (months):

Research Title:

Proposal ID Number:

(to be assigned by the DGSR)

Research Type: ☐ Basic Research ☐ Applied Research

☐ Pedagogic Research **Research Team**

Members:

Researcher	Academic Rank or Designation	Affiliation	Specialization
Principal Investigator (PI)			
Co-Investigator #1			
Co-Investigator #2			
Co-Investigator #3			

Proposal Abstract and Objectives (maximum 350 words):

Expected Research Outcomes (maximum 300 words):

Research Methodology (maximum 500 words)

Research Contribution and Usefulness (maximum 300 words)

[Main contribution in the field of research]

How does the research project fit within AU 2017-2022 Strategic Plan (maximum 300 words)

Track Record of Research Team (maximum 500 words)

[Provide a track record of the researchers involved with regards to the proposed research area. Include some recent references of PI and his/her team related to the proposal research field.]

Work Plan with Timeline

[Define main tasks of the research project and completion time needed for each task. The entries shown below are for illustrative purpose only.]



No.	Tasks	Months											
		1	2	3	4	5	6	7	8	9	10	11	12
1	Problem Formulation												
2	Analysis												
3	Simulation												
4	Report Writing												

Justification for Funding (maximum 500 words)

[What is the rationale for funding including need for RA (if required)?]

Requested Funds

[Please detail the funding requirements for the above proposal, adding additional rows/categories as required. The entries shown below are for illustrative purpose only.]

Items	Amount (AED)
Equipment/Hardware	
Software/Simulators	
Consumable Materials/Components	
Travel for Field Testing or Data Collection	
Research Assistant (specify no. of hours/week and no. of weeks)	
TOTAL	

Deliverables and Targets

The Project Progress Report must be submitted after completion of half the project duration. Within one month of the completion of the project duration, a final report shall be submitted to the DGSR through CRC Head.

Expected number of publications in journals of high impact factor or high-quality category = Expected number of publications in proceedings of highly prestigious conferences =

Ethical Issues

Does the project involve samples of animals or humans or it is concerned with other ethical issues that would require special approvals? ☐ Yes ☐ No

If the answer is Yes, please attach the approval letter from Research Ethics Committee (REC).

Pledge by Principal Investigator (PI)

If the above proposal is accepted by the Deanship of Graduate Studies and Research and research funds are granted, I affirm that I will settle all accounts related to this research proposal.

Name of PI

Signature

Date



Deanship of Graduate Studies and Research (DGSR)
Part-time Research Assistant Hiring Form

Guidelines:

- 1) After obtaining the approval of the DGSR for hiring a part-time Research Assistant (RA), the Principal Investigator (PI) shall get this form completed from the selected RA and submit it to the Head of her/his College Research Committee (CRC).
- 2) The PI will be informed by DGSR after the approval of the selected RA has been obtained from Ajman University Office of Human Resources.
- 3) If the RA is from outside UAE, special permission is required from the VCAA.
- 4) Payment to RA shall be made in instalments as determined by the CRC and in accordance with the University regulations.
- 5) For any further information or clarification, please contact the Head of CRC of your College.

Proposal ID Number (as assigned by the DGSR):

Research Title:

College:

Expected Start Date:

Principal Investigator:

Name:

E-mail:

Phone (office):

Mobile:

Research Assistant:

Name:

Affiliation:

E-mail:

Phone (office):

Mobile:

Assigned Tasks for Research Assistant (RA):

[Provide details of specific tasks assigned to the RA that he/she must accomplish within specified period.
The nature of tasks could be data collection, analysis, simulation, lab work, etc.]

Number of working hours/week =

Duration (number of weeks) to accomplish the assigned tasks =

Rate (AED/hour) =

Total Amount = AED

Pledge by Research Assistant:

I affirm that I will complete all the above-mentioned tasks assigned to me by the Principal Investigator (PI) to the best of my abilities and submit the results to PI on time.

----- Name of Research Assistant	----- Signature	----- Date
----- Name of Principal Investigator	----- Signature	----- Date

Notes:

- 1)** Attach latest CV of Research Assistant.
- 2)** If the Research Assistant is from Ajman University, kindly attach the approval or NOC from the concerned HOD and Dean.
- 3)** If the Research Assistant is from outside UAE, kindly attach special permission obtained from the VCAA.



Deanship of Graduate Studies and Research (DGSR) Research Proposal Evaluation Form

Instructions:

- 1) Each research proposal will be evaluated by the College Research Committee (CRC), which is headed by the Member of CGSR representing that college.
- 2) The CRC can appoint reviewers from within or outside the College and AU.
- 3) The review process shall be completed within one month after the specified deadline for receiving research proposals.
- 4) The CRC shall rank all reviewed proposals in the order of their overall review grades based on the quality of proposed research work, expertise of researchers in the proposed research area, and expected number of publications in journals of high impact factor or high-quality category (such as A*, A, B and C) or proceedings of prestigious conferences as classified by the CRC in each college and approved by the DGSR. However, the CRC shall also consider the required budget for each proposal and the total budget available when making the final recommendations.
- 5) Any grievance from a PI shall be submitted directly to the Dean of Graduate Studies and Research.

Proposal ID Number (as assigned by the DGSR):

Research Title:

College:

Principal Investigator:

Requested Funding (AED) =

Remarks of Proposal Reviewers:

Evaluation Criteria and Grading:

For each of the following criteria, the score range shall be from 0 to 5 as follows:

Excellent (5) Very Good (4) Good (3) Fair (2) Poor (1 or 0)

No.	Criterion	Score
1	Clarity of research proposal and its objectives	
2	Feasibility of expected outcomes	
3	Relevance and explanation of research methodology	
4	Significance of research contribution and its usefulness in scientific field and/or to society	
5	Track record of researchers in relation to the submitted research proposal	

6 Rationale for requested budget and how reasonable it is for proposed research

TOTAL (out of 30)

College Research Committee Decision:

The College Research Committee, in its meeting held on, has discussed the proposal, its evaluation by reviewers as well as its overall ranking among submitted proposals, and accordingly decided by a majority vote that:

- ☐ Proposal is approved with requested funding of AED
- ☐ Proposal is approved with modified funding of AED
- ☐ Proposal is not approved due to the quality/merit of research proposal
- ☐ Proposal is not approved due to its lower ranking considering available funds

Remarks by Head of the College Research Committee (Member of CGSR):**Remarks by the College Dean:**

-----	-----	-----
Head, College Research Committee	Signature	Date
-----	-----	-----
College Dean	Signature	Date
-----	-----	-----
Dean of GSR	Signature	Date



4. Promoting Quality Research Publications Policy

Policy Name	QUALITY RESEARCH PUBLICATIONS		
Policy Owner	Deanship of Graduate Studies & Research	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	Jul. 2017

Ajman University encourages and requires its faculty members to conduct high quality and impactful research in their areas of specialization. The University has taken a number of steps to support its faculty towards achieving this goal. As an additional incentive, the University has adopted a policy to provide financial reward for quality research and its dissemination in reputed journals. In the initial phase, the financial incentive has been specified for research papers published in Scopus-indexed journals. This policy will become effective starting from academic year 2017-18. The financial reward for faculty members shall be determined in the beginning of the academic year 2018-19 for papers published (or accepted for publication) in Scopus-indexed journals during the period of September 01, 2017 to August 31, 2018 and so on.

4.1. Papers Published in Scopus-Indexed Journals

For papers published in Scopus-indexed journals, the payment per paper and per author (considering AU faculty members only) shall be as follows:

Table 1. Financial incentive for papers published in Scopus-indexed journals

SN	Number of AU Authors (AU faculty members)	Payment per AU Author (AED)	Payment per Paper (AED)
1	1	6000	6000
2	2	5000	10000
3	3	4000	12000
4	4 or more (N)	14000/N	14000

In case there are more than four authors and only one of them is from AU, then the AU faculty member shall be paid as a single author provided that his/her name is among the first four authors unless the authors' names are written in alphabetical order. Otherwise, the payment shall be made as per above-mentioned calculation for four or more authors.

4.2. Book Chapters and Books

For each book chapter contributed in a publication by a reputed publisher, as determined by the College Research Committee (CRC) and approved by the College Dean and the University, the AU author(s) shall

receive a net amount of AED 4,000. The HOD shall verify that the contents of the book chapter are related to the specialization area of the author(s).

For each book published by a reputed publisher, as determined by the College Research Committee (CRC) and approved by the College Dean and the University, the AU author(s) shall receive a net amount of AED 10,000. The HOD shall verify that the book is written in the specialized field of the author(s).



5. Research Conferences Policy

Policy Name	RESEARCH CONFERENCES		
Policy Owner	Deanship of Graduate Studies & Research	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	2017

5.1. General Provisions

Article 1

This policy is known as the Policy on Research Conferences.

Article 2

The provisions of this Policy shall apply to all faculty members of Ajman University regardless of their ranks.

Article 3

This Policy shall come into effect on the date of its approval by the University Chancellor. All contradicting texts shall be abrogated. The Policy may be reviewed upon the recommendation of the Council for Academic Affairs, headed by the Vice-Chancellor of Academic Affairs.

Article 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. The approved budget of each College for participation in research conferences shall be transferred to the Deanship of Graduate Studies and Research (DGSR). The DGSR shall utilize the budget allocated for each College to cover the research conference participation expenses for faculty members from that particular College. This will apply to all Colleges in the University.

Article 5

The Vice-Chancellor for Academic Affairs (VCAA) has the authority to approve participation of a faculty member in a research conference upon receiving the recommendation made by the Dean of Graduate Studies and Research. The Dean's recommendation shall be based on the recommendation of the Research Conferences Committee (RCC), which is formed by the Dean of Graduate Studies and Research and approved by the VCAA.

Article 6

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

Article 7

The Dean shall present the participation request, the review report, and the recommendation of the Departmental Council in the next College Council meeting. After getting the recommendation of the College Council, the Dean will submit the request to the Deanship of Graduate Studies and Research. The submission shall include the following:

1. A completed application form for participation in a conference.
2. Proof of paper acceptance from the conference organizer.
3. A copy of the accepted research paper.
4. Review report of the ad-hoc committee.
5. Recommendation of the College Council.

Article 8

1. The applicant shall have completed at least one year at the University as full-time faculty before applying for approval to be funded for presenting a paper in a conference. However, in exceptional cases, the Dean may recommend an applicant who has not yet served AU for one complete year.
2. An applicant may not be funded to present a research paper in a conference that is held outside UAE more than once in an academic year. However, in very special cases, the Dean may recommend a faculty member to participate twice per academic year provided that sufficient budget is available for other eligible applicants to avail at least one participation per academic year.
3. A faculty member may also be permitted to attend a conference more than once in an academic year if he/she is invited as a keynote speaker and his/her expenses are totally borne by the conference organizers, provided the approval is obtained from the HOD, College Dean, and the Dean of Graduate Studies and Research.

Article 9

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

Article 10

AU faculty member may not participate in a conference when his/her presence at the University is deemed necessary by the HOD and Dean. Such cases may include the following:

1. Visit of an academic accreditation team to the faculty member's department.
2. Students' registration periods.
3. Examination periods.
4. During summer semester if the faculty member is teaching a course.

Article 11

1. In case of multiple applications for participation in the same conference and lack of sufficient funds, selection shall be made by the Dean according to the following conditions and order of priority:
 - a) Applicant's area of expertise in relation to the conference theme.
 - b) Applicant carrying out organizational duties at the conference.



- c) Applicant with least recent conference participation.
 - d) Applicant with partial external funding.
2. In case of multiple simultaneous applications for participation in different conferences and lack of sufficient funds, the Dean shall give priority to conferences that are more relevant to the research areas of interest for the College and its future research projects.

Article 12

1. If a conference is postponed after a participation mandate has been issued, the applicant is allowed to attend the same conference on its newly announced dates after notifying the Dean of Graduate Studies and Research and submitting the documents of conference postponement and its announcement of new dates.
2. If a participant is denied entrance to a host country, he/she is allowed to apply for participation in another conference in the same academic year.

Article 13

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

5.2. Evaluation Criteria

Article 14

The Research Conferences Committee (RCC) of DGSR shall use the following criterion to determine the eligibility to participate in a conference and present the research paper:

1. The conference is organized, sponsored or supported by well-known professional organization or association.
2. The conference has good reputation in the specialized discipline and it is listed in the database prepared by the College Research Committee (CRC) and approved by the College Dean.
3. The papers published in the conference proceedings will be indexed by reputed sources, as determined by the Research Conferences Committee (RCC) of DGSR.
4. Preference will be given to applicants who have not benefited from an earlier University authorization to participate in a conference in the same academic year.

5.3. Financial Allocation

Article 15

The funding approved for presentation of a research paper shall cover the following:

1. A return airfare ticket from the UAE to the conference host country. The ticket shall be of the same class as the faculty member's contractual airfare allocation.
2. Conference registration fee.
3. Visa fee, if paid by the participant.
4. Daily expenses for the duration of the conference. Funding covers up to three conference days in addition to two travel days (departure and arrival).
5. Participants receive 50% funding per diem if the organizing host provides accommodation.

5.4. Participation Decisions and Grievances

Article 16

1. Decisions relating to conference participation shall be made by the VCAA upon the recommendation of the Dean of Graduate Studies and Research (GSR). The recommendation of the Dean of GSR shall be based on the recommendation of the RCC.
2. The Dean of Graduate Studies and Research shall always submit its recommendation to the VCAA regardless of whether the decision is for approval or rejection.
3. Any grievance regarding the decision of the Deanship of Graduate Studies and Research shall be submitted by the concerned faculty directly to the VCAA.
4. The VCAA may form an ad-hoc committee to review the grievance or directly make a decision. The decision made by the VCAA shall be final.

5.5. Duties of Funded Faculty Member

Article 17

1. A faculty member funded to attend a conference represents the University and is therefore responsible for communicating a positive image of the University by making an impressive presentation based on high-quality research, and commitment to UAE as well respect to the ethical values of the host country.
2. A faculty member funded to attend a conference shall, upon his/her return, submit the following to the College Dean:
 - a) Report on participation
 - b) Copy of the passport with entry and departure stamps or copy of boarding passes
 - c) Copy of the conference paper
 - d) Registration receipts (if any)
 - e) Visa fee receipt (if paid by the applicant)
3. The College Dean shall submit the above documents to the Dean of Graduate Studies and Research for reimbursement of requested funds.

5.6. Self-Funded Participation

Article 18

1. A faculty member may apply for participation in a conference at his/her own expense.
2. For self-funded conferences, the approval of the HOD, College Dean, and the Dean of Graduate Studies and Research is required.
3. The self-funded faculty member shall be granted paid leave for up to a maximum of three days, in addition to two days for travel.
4. The participant shall be entitled to all non-financial benefits provided for in this Policy, and shall commit to all the obligations stipulated in this Policy
5. The Dean may allow reimbursement of conference registration fee for a self-funded participant.

Article 19

1. A faculty member may, with the consent of the HOD and Dean, participate in a thesis jury to assess



Master's or Doctoral theses, either within or outside the UAE. The Dean of Graduate Studies and Research shall be notified thereof.

2. The faculty member participating in a thesis jury shall be entitled to one day of paid leave when the thesis defense takes place in the UAE, and to three days of paid leave when the thesis defense takes place outside the UAE.
3. The participant shall be entitled to all the benefits provided for in this Policy, except for the financial allocations set forth in 4.3.

5.7. Domestic Conferences

Article 20

The College Dean, upon the recommendation of the HOD, may permit faculty members to attend conferences held in the UAE. In such cases, the College shall bear the conference registration expenses. Also, if the faculty member is presenting a paper at domestic conference, he/she is entitled to hotel accommodation of up to two nights provided the conference venue is located at a distance further than 100 Kms from the University campus.

5.8. Role of the Office of Public Relations

Article 21

The Office of Public Relations at AU shall make the necessary arrangements to facilitate attendance of approved participants at the conference. To that end, the Office of Public Relations shall:

1. Assist the participant in obtaining an entry visa (if required).
2. Make booking arrangements and issue air tickets.

5.9. Decision Authority

Article 21

The VCAA shall decide on all cases not provided for in this Policy.

APPENDIX

Application Form for Attending a Research Conference

Please read the pertinent regulations in *Policy on Research Conferences* before submitting the application for attending a research conference.

1. Personal Details

Name

Academic Rank

AU ID #

Email address

Mobile number

College

2. Conference details

Name of conference to attend

Place of conference (city, country)

Conference duration dates

Conference website

Title of accepted paper

3. Financial details

Estimate of return air tickets

Registration Fees (if any)

Visa fees (if any)

Estimated Per diem

Total

4. Previous Conference Participation Funded by AU

Last conference attended (funded by AU)

Title of paper presented in last conference

Attendance dates of last funded conference

Note: Please attach a copy of accepted paper and the letter/email of acceptance.

I hereby confirm that the above details are correct to the best of my knowledge.



Signature of Applicant:

Date:

Per Diem Claim and Fees Reimbursement Form

College:

VCAA's decision number and date:

Conference name

Title of presented paper

Name of Proceedings where the paper is published

Registration Fee

Visa Fee (if paid by the presenter)

Was the airline ticket provided by:

- ☐ The University
- ☐ The Organizer
- ☐ Others

Specify

Was the hotel booked by the AU Office of Public Relations: Yes ☐ No ☐

Were accommodation and allowance provided by:

- ☐ The University
- ☐ The Organizer
- ☐ Others

Specify

Signature: Date:

Please attach the following:

- A copy of the VCAA's decision letter
- A copy of the passport with exit and entrance stamps or boarding passes
- Receipts of conference registration/ visa/ others (if any)
- Conference participation report and a copy of the presented paper

Research Conference Participation Report

Please attach a copy of the paper as it appeared in the Conference Proceedings.

Name of Participant

Conference

Conference Dates

Country

Conference Organizer

Title of Presented Paper

Presentation Mode (Oral,
Poster)

Date of Departure from UAE

Date of Arrival in UAE

Abstract of Research Paper

Signature: _____ Date: _____

E. Academic Policies



جامعة عجمان
AJMAN UNIVERSITY

1. Curriculum Approval and Revision Policy

Policy Name	CURRICULUM APPROVAL AND REVISION		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

This policy describes the requirements of academic programs, and their study plans. The policy also describes how students' study plans are updated and modified.

1.1 Statement

1.1.1 Publication of Program Details

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



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

1.2 Course Description

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

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

1.3 Compulsory courses

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

1.4 Repetition of an already taken compulsory course

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

1.5 Selection of elective courses

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

1.6 Repetition of an already taken elective course

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

1.7 Revision of a program

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

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

- Introduce any of the changes above;
 - change the delivery mode of a given course: addition of a tutorial session, or changing 1 credit hour of lecture by a 2 hours of Laboratory work and vice versa.
 - review the course description of a given course based
 - on the assessment of the program without altering the Matrix of objectives of the program.
- Major revision: A revision is regarded as a major if:
- change the legal status or form of control of the institution, including a change in ownership or merger with another institution;
 - significantly alter the mission, goals or objectives of an institution (this would include the introduction of qualifications at a higher level);
 - establish instruction in a significantly different format (such as an intensive term or weekend classes) or method of delivery (such as e-learning);

- relocate the primary campus, or establish instruction at a branch or an additional location;
- close one of the institution's locations;
- make significant changes in the organizational structure, such as separating one unit or institution into two or joining two separate units (such as two departments or colleges);
- enter a contractual relationship with another organization to provide instructional services;
- change the language of instruction for any program;
- change program admissions requirements from those approved by the Commission during the accreditation process;
- make major reductions in program offerings;
- increase or decrease the length and completion requirements of a program;
- introduce non-credit courses or activities that affect the mission or alter faculty workload.

➤ Implementation of approved changes

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



2. Undergraduate Admission Policy

Policy Name	UNDERGRADUATE ADMISSION		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

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

2.1. Definitions

- University: Ajman University.
- Admissions Period: The period of time during which applicants can submit their admission application to the Admissions Department.
- 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 Admissions Department 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 Admissions Office 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 & Registration Fee: The fee collected to process a student's application & 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 Deanship of Admissions and Registration at the University.

2.2. Undergraduate Admissions Requirements (Holders of UAE Secondary School Certificate or Equivalent Qualifications)

- a. Applications for admission should be submitted to the Admissions Department during the admission period.

- b. The applicant must possess a Secondary School Certificate (SSC) issued in the UAE, or its equivalent as approved by the UAE Ministry of Education.
- c. Holders of a SSC, Science Section, are eligible for admission in any college of the University if they satisfy the minimum score requirement for the degree program as published by each college.
- d. Holders of the SSC, Literary Section, with a minimum score of 60 percent, are eligible for admission to all degree programs in the colleges of Business Administration, Information Mass Communication & Humanities, and Law.
- e. Holders of the SSC, Literary Section, with a minimum score of 60 percent, are eligible for admission to the following programs which are offered by the other colleges:
 - Bachelor of Education/Teacher Training Program in Arabic and Islamic Studies.
 - Bachelor of Education in Teaching English as a Foreign Language
 - Bachelor of Science in Information Systems
 - Bachelor in Interior Design
- f. If the medium of instruction is English, then the applicant should satisfy the English proficiency requirement outlined in section 1.1.7.

2.3. Undergraduate Admissions Requirements (Holders of Foreign Secondary School Certificates other than British System Certificates)

- a. Holders of the national high-school certificate of a foreign country are eligible for admission if:
 - The certificate is considered for admission in public universities of the country where it was obtained.
 - The certificate was awarded after at least 11 years of schooling.
- b. The certificate includes at least six subjects covering the areas of Mathematics, Sciences, Languages, Social Sciences/Humanities or Arts.
- c. Holders of high-school certificates from countries having two-level high-school certificates must submit the certificate of the higher level.

2.4. Undergraduate Admissions Requirements (Holders of British System Certificates (IGCSE, GCSE, GCE))

- a. The applicant has passed seven subjects at the ordinary level of IGCSE or GCSE, with a minimum grade of C. If a subject is taken at AS Level or A Level, the required minimum score is reduced to D and E respectively.
- b. The seven subjects must cover the four areas of Mathematics, Science, Languages and Humanities or Arts.
- c. The applicant must prove that he/she has completed at least 11 years of schooling by providing the grade transcript of Grade 11 and that of Grade 12, when available.
- d. The applicant submits his/her school-leaving certificate.



2.5. Admissions Criteria

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

2.6. English Language Proficiency (Undergraduate Programs)

- a. Full admission to programs where the medium of instruction is English is given to applicants who have achieved Level 1 English Language Proficiency (Refer to appendix 6.1 for a definition of English Language Proficiency levels).
- b. Students who do not satisfy the above-mentioned minimum English Proficiency requirement may begin their studies with conditional admission.

2.7. Conditional Admissions (Undergraduate Programs)

- a. Colleges at their discretion may grant conditional approval to an applicant who doesn't meet the required English Proficiency level for the programs they offer. The applicant will have to fulfill the requirements, and abide by the restrictions, mentioned below.
- b. Applicants who are in Level 2 of the English Proficiency must obtain a score of 500 in TOEFL or its equivalent within one year. They must also enroll in the Intensive Advanced English Proficiency Program (IEP) offered by the College of University Requirements and Academic Counseling.
- c. Applicants who are in Level 3 English Proficiency must obtain a score of 500 in TOEFL or its equivalent within one year. They must also enroll in the Intensive Intermediate English Proficiency Program (IEP) offered by the College of University Requirements and Academic Counseling.
- d. Applicants with an English Proficiency Level of 4 or less must obtain a TOEFL score of 450 or its equivalent within one semester. They must also enroll for an English preparation course offered by the Continuing Education Centre.

2.8. Admission for Transfer Students (Undergraduate Programs)

- a. Students transferring from other accredited universities have to comply with the following requirements:
 - Transfer is permitted to a similar program as the one studied previously only if the following conditions are satisfied:
 - They have a CGPA of at least 2.0 out of 4 or equivalent.
 - They should not have been the subject of disciplinary dismissal.
 - They meet the English Language Proficiency requirement, if applicable.
 - Transfer is permitted to a different program to the one studied previously only if the following conditions are satisfied:

- They should not have been the subject of disciplinary dismissal.
- They meet the English Language Proficiency requirement, if applicable.

2.9. Re-admission of Former Students

- a. Students, whose studies have been interrupted for any reason for more than one year, will have to re-apply for admission. To be eligible for re-admission, the applicant has to meet the following criteria:
 - The applicant can only be admitted to the same program he/she was enrolled in if it is still being offered by the University.
 - The applicant was not subject to academic or behavioral dismissal from the University.
 - The applicant was not in unsatisfactory standing with the University.
 - The applicant must satisfy the admission requirements in effect at the time of readmission.
 - The applicant's previous fees, charges and dues owed to the University have been paid.
 - Seats for the program the applicant wants to join are available.

2.10. Documents Required for Admission

- a. Application form, which may be obtained from the Office of Admission and Registration, to be filled in by the applicant
- b. UAE Secondary School Certificate, or its equivalent, and grade transcript.
- c. Certified copies are acceptable
- d. Photocopy of valid passport
- e. Photocopy of a valid Identity Card(for UAE residents)
- f. Health certificate, issued by a university doctor
- g. Certificate of good conduct, issued by an official body
- h. Six passport-size photographs with the applicant's full name on the back of each
- i. A written commitment signed by the applicant that he/she will observe university rules and regulations
- j. If available, a certificate of proficiency in English language, e.g. TOEFL with a minimum score of 500 score, or IELTS with a score of at least 5. Institutional TOEFL score is considered only if the test was taken at AU.

2.11. Certification of Documents

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



in that country, or by the embassy of the country which issued the certificate, and by the UAE Ministry of Foreign Affairs.

2.12. Admissions and Registration Fees

- a. Applications will be processed by the Admissions Department only after payment of the non-refundable application and registration fees.
- b. Students admitted to certain programs are required to pay a seat reservation deposit. These programs are those of: Doctor of Dental Surgery, Bachelor of Pharmacy, B.Sc. in Architecture, and Bachelor in Interior Design.
- c. The deposit should be paid before the end of the deadline mentioned in the offer letter.
- d. Failure to pay the deposit will result in the offer being withdrawn.
- e. This deposit is deductible from the student's fee for the semester for which admission was given.
- f. The finance department sets the fees and deposit amounts.

Appendix 1: English Proficiency Levels

The Admissions Department should place each application on an English Proficiency Level based on the proven documentation produced by the applicant.

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



3. Graduate Admission Policy

Policy Name	GRADUATE ADMISSION		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

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

3.1. Definitions

- University: Ajman University.
- Admissions Period: The period during which applicants can submit their admission application to the Admissions Department.
- 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 Admissions Department 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 Admissions Office 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 & Registration Fee: The fee collected to process a student's application & 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 Deanship of Admissions and Registration at the University.

3.2. Admission Requirements for Master's Level Programs

In accordance with the University requirements for graduate degrees, a candidate to be admitted into the M.Sc. program he/she must fulfill the following minimum requirements:

- a. Completion of a recognized baccalaureate degree in a discipline appropriate for the Master's degree. A Higher Diploma is not equivalent to a baccalaureate degree and does not qualify an applicant for admission to Master's programs.
- b. A minimum cumulative grade point average of 3.00 on a 4.0 scale, or its established equivalent, in the applicant's baccalaureate degree program.
- c. For programs taught in English, a minimum TOEFL score of 550 on the Paper-Based, 213 on the Computer-Based, or 79 on the Internet-Based test, or its equivalent in a standardized English language test, such as 6.0 IELTS or another standardized, internationally recognized test approved by the Commission, with the following exceptions:
 - a native speaker of English who has completed his/her undergraduate education in an English-medium institution and in a country where English is the official language;
 - an applicant with an undergraduate qualification from an English-medium institution who can provide evidence of acquiring a minimum TOEFL score of 500 on the Paper-Based test, or its equivalent on another standardized test approved by the Commission, at the time of admission to his/her undergraduate program.

3.3. Conditional Admission Requirements for Master's Level Programs

- a. A student with a recognized baccalaureate degree and a TOEFL score of 530 (197 CBT, 71 iBT) or its equivalent on another standardized test approved by the Commission may be admitted conditionally to a Master's program. Such a student must meet the following requirements during the period of conditional admission or be subject to dismissal:
 - must achieve a TOEFL score of 550, or equivalent, by the end of the student's first semester of study;
 - may take a maximum of six credit hours in the first semester of study, not including intensive English courses;
 - must achieve an overall grade point average of 3.00 on a 4.0 scale, or its established equivalent, in the first nine credit hours of credit-bearing courses studied for the Master's program.
- b. A student with a recognized bachelor degree with a cumulative grade point average between 2.5 and 2.99 on a 4.0 scale, or its established equivalent, and who meets the English language competency requirements for general admission stated in Part I above, may be admitted conditionally to a Master's program. Such a student must meet the following requirements during the period of conditional admission or be subject to dismissal:
 - may take a maximum of nine credit hours in the first semester of study;
 - must achieve an overall grade point average of 3.00 on a 4.0 scale, or its established equivalent, in the first nine credit hours of credit-bearing courses studied for the Master's program.
- c. A student who does not meet the above stated GPA requirement (2.5 or more) but has at least 5 years of relevant documented work experience after his graduation can apply for the program. The number of students admitted under this category must not exceed 10 % of the total number of students of the Master program. A minimum of 550 on paper based TOEFL or 6 on IELTS (or its equivalence) is required. Institutional TOEFL score is considered only if the test is taken at AU.



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

3.4. 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 holds a Bachelor's degree from a UAE-recognized university with a minimum cumulative GPA of 2.
- b. The Bachelor degree of the applicant is in one of the following fields: Arabic Language, Islamic studies, English Language or Translation, IT, Mathematics, Biology, Physics or Chemistry.

3.5. General Admission Requirements for Doctoral Programs

- a. Completion of a Master's degree in a discipline appropriate for the doctoral degree.
- b. A minimum cumulative grade point average of 3.00 on a 4.0 scale, or its established equivalent, in the applicant's Master's degree program.
- c. A minimum TOEFL score of 550 on the Paper-Based; 213 on the Computer-Based, or 79 on the Internet-Based test, or its equivalent in a standardized English language test: such as 6.0 IELTS or another standardized, internationally recognized test approved by the Commission, with the exception of applicants who have studied Master's degree programs taught in English that required for admission a TOEFL score of 550 or equivalent.

3.6. Re-admission of Former Students

Students, whose studies have been interrupted for any reason for more than one year, will have to re-apply for admission. To be eligible for re-admission, the applicant has to meet the following criteria:

- a. The applicant can only be admitted to the same program they were studying in if it is still being offered by the University.
- b. The applicant was not subject to academic or behavioral dismissal from the University.
- c. The student was not in unsatisfactory academic standing
- d. The applicant must satisfy the admission requirements in effect at the time of readmission.
- e. The applicant's previous fees, charges and dues owed to the University have been paid.
- f. Seats for the program the applicant wants to join are available.

1.8 Documents Required for Admission to a Graduate program

Application form, which may be obtained from the Office of Admission and Registration, to be filled in by the applicant

- a. UAE Secondary School Certificate, or its equivalent
- b. Certified copy of the Bachelor degree certificate or its equivalent,
- c. Certificate copy of the grade transcript
- d. Certificate of proficiency in English language, e.g. TOEFL with a minimum score 550 in TOEFL or its equivalent
- e. Photocopy of valid passport
- f. Ac copy of UAE ID card for UAE residents
- g. Health certificate, issued by a university doctor
- h. Certificate of good conduct, issued by an official body
- i. Six recent passport-size photographs
- j. Two reference letters
- k. A written commitment signed by the applicant that he/she will observe university rules and regulations.

➤ Notes:

- AU does not take into consideration Institutional TOEFL scores obtained in another institution.
- If the Bachelor degree is obtained abroad, the applicant must apply for Equivalency of the his/her degree at the Ministry of Education - Higher Education affairs, UAE.

3.7. 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 Degrees obtained in the UAE must be certificated by the UAE Ministry of Education - Higher Education affairs, UAE.
- b. Bachelor degree obtained abroad must be certificated by the Ministry of Higher Education, and either by the Ministry of Foreign Affairs of the country of origin and the UAE embassy in that country, or by the embassy of the country, which issued the certificate, and by the UAE Ministry of Foreign Affairs.

3.8. Admission Validity

Admission to a Graduate program is valid for a full semester.

3.9. Admissions and Registration Fees

- a. Applications will be processed by the Admissions Department 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.

4. Transfer Admission Policy

Policy Name	TRANSFER ADMISSION		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

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

4.1. Definitions

- University: Ajman University.
- Admissions Period: The period during which applicants can submit their admission application to the Admissions Department.
- 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 Admissions Department 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 Admissions Office 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 & Registration Fee: The fee collected to process a student's application & 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 Deanship of Admissions and Registration at the University.

4.2. Transfer admission of undergraduate students in good academic standing

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

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

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

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

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

4.4. English Language Proficiency requirements

- a. If the student was admitted at his/her previous university based on the Institutional TOEFL, he/she will be requested to re-take TOEFL test at AU.
- b. If the student was disconnected from his studies, his non- Institutional TOEFL score will be considered only if it was obtained in less than two years at the date of the beginning of the first semester of study at AU.

4.5. Requirements for Transfer of undergraduate courses

- a. The transfer of credited courses is considered for a student who is transferring to a similar program to the program studied previously if:
 - His/her cumulative grade point average was 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 (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.



- b. If the transfer is accepted in a program in different field of study because the CGPA was less than 2.0, the transfer of a course may be considered only if:
 - The course is a General Education course
 - 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 (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
- c. If a student meets these transfer conditions but is unable to submit the course content that was covered previously, he/she may sit an examination set by the College (after payment of a fee). The examination result will be used to determine whether the course will be transferred or not.
- d. The maximum number of credit hours that could be transferred must be less than 50 percent of the credit hours that are required for graduation.
- e. The majority of the final thirty credit hours must be completed at AU.
- f. Grades obtained in transferred courses at the previous institution will not be taken into account in the computation of the CGPA at AU.

4.6. Transfer of Graduate Students from Accredited Institutions

A Graduate student may apply for Transfer admission in an AU Graduate program in the same field of study if:

- a. The program and the previous institution are recognized by the Ministry of Education - Higher Education affairs, UAE.
- b. The student has been in good academic standing, i.e.: his/her Cumulative Grade Point Average (CGPA) is at least 3.0 on a scale of 4.0, or the equivalent,
- c. The student has not been the subject of disciplinary dismissal.
- d. The student satisfies the minimum admission requirements to the graduate program applied for.

4.7. English Proficiency requirement for graduate programs

- a. Any transferred graduate student is required to prove that he/she passed TOEFL test with at least 550 score or its equivalent in its previous graduate program.
- b. If the student was admitted at his/her previous university based on the Institutional TOEFL, he/she will be requested to re-take TOEFL test at AU.

4.8. Course transfer in Graduate programs

- a. The transfer of credited courses may be considered if:
 - The cumulative grade point average was at least 3.0 on a scale of 4.0, or the equivalent
 - the number of credit hours for the course is not less than that of the AU equivalent course
 - the grade obtained on the previous course must have been at least B (or the grade that

corresponds to “Merit/ very Good” for institutions using a different grading scale)

- the course content at the institution previously attended should be similar to that of the corresponding course offered at AU
- b. Only grades obtained from courses taken at AU will be taken into account in the calculation of a student’s CGPA, i.e., grades obtained from transferred courses at the previous institution will not be taken into account in the computation of the CGPA.
- c. AU shall not accept transfer of capstone courses or projects.
- d. The number of credit hours that could be transferred should not exceed 25% of the total number of credit hours of the program.
- e. The transferred courses should not constitute the majority of courses (excluding the thesis/dissertation) of the 2nd year of the program
- Documents Required for Course Transfer
 - A Certified copy of the Transcript
 - A certified copy of the detailed course description of the course that includes the learning outcomes of the course
 - The transferred credit hours will be shown on the Transcript only if verification certificate of the former transcript is received from all previous institutions. Also, credit will not be given twice for substantially the same course taken at two different institutions.



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

Policy Name	ADVANCE STANDING AND PLAR		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

5.1. 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.

5.2. 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 credit based on their current level of knowledge, skills, and competencies. It is an educational initiative that provides newly enrolled students an opportunity to identify, demonstrate, and gain recognition for what they already know and can do. 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:

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

5.2.1. Statement

1. Ajman University shall recognize prior learning of applicants who have acquired significant learning through work and life experiences which may be equivalent to some University courses.
2. For appropriate recognition, the learning should be current, relevant to the course and of sufficient breadth and depth to ensure university level learning.

3. For obtaining credit for prior learning experience, applicant's knowledge, skills, and competencies shall be weighed against course descriptions and their learning outcomes.
4. A maximum of 30 credit hours can be gained through PLAR.
5. For every course that has been successfully recognized against prior learning experience, a grade of 'S' (Standing) shall appear on the transcript. For all such courses, the course classification will be coded as 'PLAR'.
6. PLAR courses shall not be used in determining the cumulative GPA.
7. In case of unsuccessful recognition, the applicant may submit another application after a delay of at least six months by providing additional learning experience and demonstration of knowledge, skills, and competencies.
8. Unsuccessful applicants have the right of appeal to the College Dean whose decision will be final.

5.2.2. 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 Admission 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. The Committee shall determine the assessment tools for assessing prior learning of the applicant. These may include one or more of the following: written/oral exams, projects, assignments, interviews, skill demonstration, or portfolio review.
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.
9. The Dean will submit the Assessment Evaluation form to the Office of Admission and Registration. The student will be informed accordingly by the Office of Admission and Registration.
10. 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 who shall make the final decision.



6. Internship Policy

Policy Name	INTERNSHIP		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

This document sets out the University's policy relative to field training in a company.

6.1. Career & Placement Services Office (CPSO)

Through the Career & Placement Office, AU ensures that:

- Companies/potential employers are screened for their suitability for external training of AU students.
- The screening is based on the appropriateness of the company for students, and good work experience.
- Agreements will be signed between the CPSO and Companies. The agreement must cover the following:
 - the company will give a job description and suitable assignments to the student to meet the learning objectives.
 - the Office of Career & Placement Services will inform the company of the name of the College advisor, and the assessment methods of the internship
 - The Office of Career & Placement Services gives the internship manual to the site supervisor who is assigned by the company to supervise the student.
 - The Office of Career & Placement Services ensures that the site supervisor is aware of his/her responsibilities, which are defined in the internship manual of the college in which the student is enrolled.

6.2. Duties of the College

- The Dean of the College is responsible for the appropriateness of the Training sites.
- The Head of the Department is responsible on the quality of the supervision, schedule of oral presentations and appropriateness of the placement sites as far as the learning outcomes are concerned.
- The Head of the Department dresses the list of students which will register in the internship well before the start of the internship
- The Head of the Department divides the students into groups of up to 10 students taking into

- account the location of the companies at which the students will do their internship.
- e. The Head of the Department assigns an internal supervisor to each group of students
 - f. The internal supervisor, who will supervise a group of students, will :
 - give an orientation session of 2 hours to the students as before the start of the internship;
 - receive the weekly reports of the students signed & commented by the Site Supervisor;
 - arrange meetings with the students on a regular basis, at least once in every 2-weeks for guidance to improve students' performance, and to discuss difficulties encountered by students;
 - raise difficulties encountered by students to the Head of the Department and the Manager of Office of Career & Placement Services;
 - guide students on who to write the final report, and the content of their oral presentation;
 - ensure that each student will submit his/her final report on time;
 - ensure that each of his/her students informed on the schedule of the oral presentation to be defended in front of a Jury.

6.3. Incentive for Faculty that find placement sites in new reputable companies/institutions

The Dean of the College and the Manager of the Office of Career & Placement Services could recommend a bonus of up to 3000 AED to the Faculty member who arranges for five internships in reputed placement sites.

6.4. Schedule of oral presentations

The Departments will schedule the oral presentations on Thursdays so that interested 2nd and 3rd year students can attend the oral presentations.

6.5. Grading of the internship

- Site supervisor: 30 marks
- Internal advisor: 30 Marks
- Jury: 40 Marks: 20 marks are devoted for the report, and 20 marks for the oral presentation

6.6. Submission of the Grades

- a. The Office of Career & Placement Services sends the grade sheet of each group to the Registration Department.
- b. The Grade sheet must be signed by the Internal Supervisor, the Head of Department, the Dean of the College, and the Manager of the Office of Career & Placement Services.



6.7. Assessment of the effectiveness of the training

- a. The members of the Jury will fill up a questionnaire that focuses on the learning outcomes, quality of the training site, and that of the site supervision.
- b. The Head of Department will analyze the feedback expressed in the questionnaire.

7. Undergraduate Completion Policy

Policy Name	UNDERGRADUATE COMPLETION		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

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.

7.1. 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 30 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.

7.2. 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.

7.3. Follow up of graduating students

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

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

- a. Once the results are announced, the Registrar sends to the Dean of each College:
 - The list of graduating students, along with their final Transcript, whose CGPA is 2.0 or more
 - The list of graduating students that completed all courses but their CGPA is less than 2.0. These students will be asked by the academic advisor to re-take courses from their study plan to raise their CGPA to 2.0 or more.
 - The list of graduating students who failed one or more courses during their last semester. These students may ask for a re-sit exam if they have failed in one course and it is the last course required for graduation. Otherwise, they will re-take the courses during the following semester.
- b. After coordination with the Registrar, the Dean of the college sends the list of the graduates to

the Academic Council of the University for approval.

7.5. 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 & Certification of the Ministry of Education - Higher Education affairs before the distribution of graduation certificates.

7.6. 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.

7.7. 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:

7.8. 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.

7.9. Time Allowed for Completion of a Degree Program

- a. The maximum time for a student in which he/she may complete a degree program is double the regular number of required semesters. In other words, a four-year bachelor degree must be completed in a maximum of 16 regular semesters of enrolment in the program (not including summer semesters). Suspended semesters are not counted in the time allowed for students to complete their degree.
- b. The minimum time allowed to complete a degree for non-transfer students is a minimum of six regular semesters for four-year programs and eight regular semesters for five-year programs.
- c. The maximum and minimum number of semesters of enrollment for transfer students are determined after the deduction of the number of earned/transferred semesters (15 credits correspond to one semester) from the above limits.
- d. Suspended semesters are not counted in the time allowed for students to complete their degree.

8. Graduate Completion Policy

Policy Name	GRADUATE COMPLETION		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

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.

8.1. 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 & 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.

8.2. 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.

8.3. Follow up of graduating students

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

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

- c. In parallel, each registration officer reviews the academic records of the students, and compares it to the official study plan of the program.
- d. Well before the end of the semester, each registration officer compares the results of his/her analysis with that of the academic advisor. In case of discrepancy, he/she transfers the case to the Registrar who will in turn discuss the case with the Dean of the College.
- e. Finally, for each program, the list of graduating students' IDs dressed by the Registration Department before the end of the semester.

8.4. 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.

8.5. 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 & Certification of the Ministry of Education - Higher Education affairs before the distribution of graduation certificates.

8.6. 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.

8.7. 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:

8.8. Scaling System for Graduation

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

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

9. Academic Progress Policy

Policy Name	ACADEMIC PROGRESS		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

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

9.1. Course Selection

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



approval of the academic advisor and the Registrar, to waive any approved academic restriction mentioned above.

9.2. Course Registration

- Course Registration is available to all students who completed the course selection process and who are not on academic hold.
- 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.
- The total semester credit hours of registered courses should be within the authorized student's study load which is defined as follows:

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

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

9.3. Add/ Drop courses

- Students may add courses during early registration, registration, and add/drop period of the semester.
- Students may drop courses during early registration, registration, add/drop period of the semester.
- To perform add/drop, students should not be on academic hold.
- 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.
- 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 8.3 "d".

9.4. Changing Course Section

- 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.
- 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.

9.5. 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 8.5 “c”.

9.6. Incomplete Requests

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

- a. Acceptable evidence for failure to attend a final examination consists of the following:
 - Illness certified in a medical report approved by the University doctor
 - Death certificate of a first or second degree relative c) Arrest or summons before a court or other legal body
 - 2 final exams are scheduled at the same time and the same day
 - Having more than 2 final exams in the same day
- b. The request must be made to the Registration Department within 72 hours after the date of the exam.
- c. Incomplete requests should be sent by the Registration Officer to the Course Instructor before the end of the incomplete deadline as published in the academic calendar.
- d. The instructor should obtain the approval of the Department Head and the Dean of the College before the end of the deadline as shown in the Academic Calendar.
- e. The request is accepted when the approvals are granted.
- f. A student who was granted an “incomplete” grade for a course, he/she will need to take the final exam before the end of the first week of the following semester in which he/she is registered.
- g. The Grade obtained in a course for which Incomplete Grade was accepted, is not subject to Grade Complaint.
- h. Students who fail to take the final exam as stated in 6.6 will receive a grade “F” in the course.



9.7. 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.

9.8. 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.

9.9. 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 (see Accounts Receivable Procedure)

9.10. 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.

9.11. 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.

9.12. 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.

9.13. 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.

9.14. Attendance regulations

- a. Instructors are required to take attendance at the start of each class, marking students as present, absent.
- b. Completed attendance logs on the System cannot be modified without approval of the Dean of the College and the Registrar.
- c. Students that register in a course during the Add/Drop Period will be marked as “excused” for the classes they missed.
- d. A student wishing to be excused from attending a session should gain the approval of the Instructor before the beginning of the class, or present a valid excuse after the class in the case of emergencies.
- e. Students may be excused for the following reasons:
 - Proven medical emergency
 - The death of a relative
 - Held by a third party beyond their control (police, court, etc.)
- f. If a student is absent for 10 percent of class hours, the Instructor will issue a 10 percent absence warning.
- g. If a student is absent for 20 percent of class hours, the Instructor will issue a 20 percent absence warning.
- h. If a student is absent for 25 percent of class hours, the Instructor will issue a 25 percent absence warning, and the student will receive an F grade.
- i. A 25 percent absence warning requires the approval of the Dean of the College offering the course.
- j. Automatic notification of warnings will be sent to students by email and SMS.

APPENDIXES

I: English Proficiency Levels

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

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

II. Grading System

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

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

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 Admission 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.

10. Grading and Assessment Policy

Policy Name	GRADING AND ASSESSMENT		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

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

10.1. Course Grading Scale Setup

- The Instructor of each class of students is required to enter the grading components of his/her course on the Student Information System (SIS) during the first week of the semester.
- The Instructor should follow the course assessment methods, which are described in the approved description of the course.
- The overall score is normally distributed as follows:
 - 40 % for semester tests and activities,
 - 20% for the Mid-Semester Examination
 - 40% for the Final Examination
- The grading scale should be made available to students during the first week of classes.

10.2. 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 Registration Department.
- Once the grades are submitted to the Registration Department, any changes to the grades will have to be processed using the Grade Modification procedure given below.

10.3. Grade Submission

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



- c. The hard copy will have to be reviewed by the Head of the Department and the Dean of the College.
- d. If both the Head of Department and the Dean of the College approve and sign the grade sheet of the class, the original of the hard copy of the grades will be sent to the Registration Department.
- e. One copy of the grade sheet must be kept in the Dean's office of the college that offers the course.
- f. If the Registration Department finds any discrepancies between the grades entered by the Instructor on the SIS and the hard copy of the Grade sheet, then the sheet is sent back to the Instructor for correction.
- g. If the Registration Department finds no discrepancies, then the electronic copy is certified/locked, and the hard copy of the grade sheet is filed.
- h. When the electronic copy is certified/locked, the Instructor will no longer be able to unlock the grades book and make further changes. The appropriate Grade Modification procedure will have to be followed to make further changes.

10.4. Procedure for Grade Modification

- a. Students can submit a request for Grade Complaint in a course at the Registration Department during the Period shown in the academic calendar (the next two weeks the announcement of the results on the University website).
- b. The Registration Department sends the request to the Dean's office of the College, which offers the course who will, in turn, forward it to the Instructor of the course.
- c. The Instructor will review the Final Examination and decides if the grade will remain unchanged, or review the grade upwards or downwards by giving the justification of the modification.
- d. Once the Dean approves the decision of the Instructor, he/she will forward the decision to the Registration Department who will inform the student of the decision.
- e. The student cannot introduce another Grade complaint for the same course if the grade was kept unchanged.
- f. If the Grade is kept unchanged, the student may introduce a written complaint to the Dean who could designate a committee of faculty members to review the answer paper of the student.
- g. If the Instructor is no longer at AU, the Head of Department will investigate the complaint made by the student by reviewing the grades left by the Instructor, and the answer sheet of the Final exam of the student.

10.5. Copies of Final exam papers

- a. Each Instructor should hand back the answer sheets of the students at the Head of Department Office, which keeps them for 2 regular semesters.
- b. The Instructor should attach, to his/her end of semester report, a copy of all tests, Mid-semester exam, and Final Exam along with the answers to each question and the mark of each question.
- c. The Instructor will also attach, to his/her end of semester report, a copy of the answer sheets of the Mid-semester exam and the Final Exam of three students who have obtained the best, middle, and worst grades (A, C, and F) respectively.

10.6. Standards for writing & administrating exams

- a. Test 1 and Test 2 are exams that assess a small number of learning objectives. They are usually graded on at most 15 marks each.
- b. Quizzes are usually graded on at most 5 marks. They can be administrated without prior information of the students.
- c. Instructors are encouraged to give assignments on a regular basis using Moodle.
- d. If the course has a Lab session, the Instructor must ensure that each student submit a report on each experiment no later than one week after the completion of the experiment.
- e. Laboratory reports must be handed back to the students as soon as possible so that the students benefit from the observations, made by the instructor, in their future reports.
- f. The Instructor must ensure that the report is the result of personal findings of the student.
- g. If the Instructor notices that the report was plagiarized, a Zero Mark is given to the student.
- h. To discourage students from using reports written by former students, the Instructor is expected to revise Lab assignments regularly.
- i. If the student does not submit his/her report on time, the Instructor may penalize the student for late submission. The penalty can go up to giving a Zero Mark in the Report.
- j. The final exam paper should contain questions, which are designed in a manner that they truly measure the degree of achievement of the expected learning outcomes of the course.
- k. If the course is taught by more than one Instructor, the Final Exam questions must be common to all students, or achieve the same outcomes in case of more than one version.
- l. Final Exam paper may contain four compulsory questions and multiple-choice questions.
- m. Instructor(s) is/are also responsible for keeping the exam papers in a very safe place.
- n. The Instructor (s) should make sure that the exam paper is not kept on the hard disk of his/her Laptop to avoid its leakage by hacking techniques.
- o. The Instructor must attach a statistical analysis, based on students' grade, in the end of semester report to measure the degree of achievements of the objectives and the goals of the course.

10.7. Availability of a spare copy of A Final Exam Paper.

- a. Each Instructor is expected to submit, to the Head of Department, a version of a Final exam paper, not necessary identical to the official one, in a sealed envelope. This version could be copied in case the Instructor will be absent during his Exam session due to a very serious emergency.
- b. A spare copy of the final exam should satisfy all requirements of the Final Examination: the form and the content of the questions.
- c. The Head of the Department will hand back the sealed envelope to the Instructor before the administration of the exam.

1.9 Submission of the Final Grades

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



10.8. Schedule of the Final Exam

- The Length of the Final Exam is Two (2) hours for all non-practical courses
- The Final exam must be administrated on the day, the time, and place as announced on the Final Examination Schedule.
- 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

11. Independent Study Policy

Policy Name	INDEPENDENT STUDY		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

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

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

11.1. Independent Study

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

12. Class-Size Policy

Policy	CLASS-SIZE		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

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

12.1. 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
University Requirements and Academic Counseling	60	25	--	--	--
Dentistry	60	20	30	--	--
Pharmacy and Health Sciences	60	20	30	--	--
Engineering	45	20	--	18	30
Information Technology	40	20	--	--	--
Education and Basic Sciences	40	20	--	--	25
Business Administration	45	20	--	--	--
Information, Mass Communication and Humanities	40	20	--	--	--
Law	45	30	--	--	--
Class Size	40 - 60	20 - 30	30	18	25-30

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

Colleges	Programs						
	MBA 1	MOL 2	GWEM 3	MSc Pharm 4	MSc /Dent 5	MSc. / UD6	PDT7
Business Administration	25						
Law		15					
Institute of Environment			10				
Pharmacy				20			
Dentistry					12		
College of Engineering						Theory 25	studio 15
College of Education and Basic Science							Theory 25
							Studio 10
Class Size	25	15	10	20	12	40	35

¹ = Master of Business Administration

² = Master of Law

³ = Master of Science in Groundwater Engineering and Management

⁴ = Master of Science in Pharmacy

⁵ = Master of Science in Restorative Dentistry

⁶ = Master in Urban Design

⁷ = Professional Diploma in Teaching

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



13. Academic Advising Policy

Policy Name	ACADEMIC ADVISING		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

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.

13.1. Introduction

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

13.2. 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.

13.3. 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.

13.4. Implementation of Advising

University Responsibilities

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

Colleges and Departments Responsibilities

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

1. It is the responsibility of departments, colleges, and Student Services to:
 - a. Ensure that advising is available for students when they need or wish it rather than merely when the College requires it. This means that advising opportunities shall be available to students throughout the academic year at regular, reasonable intervals.
 - b. Make all relevant (using any format deemed appropriate) information available to students. The following list is indicative of the types of information that might be made available:
 - i. University rules, regulations, and procedures;
 - ii. Support resources available on campus;
 - iii. A copy of students' advising responsibilities;
 - iv. Necessary forms and academic calendar;



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

Advisor Responsibilities

1. Maintain the primary advising file for each advisee. At a minimum, these files shall contain:
 - i. A written record of advising and referral documenting each formal advising session;
 - ii. A copy of the advisee study plan.

- iii. Copies of advisee transcripts.
 - iv. Copies of advisee current semester timetable.
 - v. Semester by semester graduation study plan for each advisee.
2. Listen to advisee concerns and respect their individual values and choices.
 3. Understand and effectively communicate all university and college academic policies and procedures.
 4. Refer advisee to appropriate resources for both academic and non-academic concerns
 5. Cooperatively evaluate and assess your academic performance and areas of strength while assisting in selecting courses.
 6. Encourage advisee participation in co-curriculum activities.
 7. Ensure that advisee are aware of opportunities and benefits available at AU.
 8. Maintain confidentiality.
 9. A graduation progress check sheet for each advisee.

Peer advisor Responsibilities

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

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

Peer advisors serve six purposes:

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

Student Responsibilities

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

1. Become familiar with their advisors and advisor offices by initiating contact and seeking assistance on regular basis through email, phone, and individual appointment.
2. Become familiar with academic policies, dates, and deadlines.
3. Come prepared and on time to meeting with your advisor.
4. Ask for clarification if the advisor fails to explain an issue or concern in a way that sense to you.
5. Read all email communication from your advisor and other AU departments.
6. Inform your advisor of problems and concerns which may impact your academic



performance as soon as possible

7. Familiarize themselves with requirements for the major/ program, as well as graduation and other requirements, contained in the appropriate University Catalog and other University publications;
8. Maintain their own personal academic advising folders and take them to every advising appointment. For undergraduate students, it is recommended that this folder include:
 - a. Unofficial copies of prior college or university transcripts;
 - b. Transcript;
 - c. Current semester timetable; and,
 - d. An individual study plan.
 - e. Notes from formal advising sessions.
9. Obtain academic advice whenever it is needed from your advisor.
10. Develop an individual study plan. The individual study plan must be approved by the student's appropriate advisor.
11. Accept ultimate responsibility for their selection of classes, which incorporates their decisions as well as the academic advice that has been given.
12. Evaluate (if they so choose) academic advising programs and individual academic advisors by filling survey forms, speaking or writing to the head of departments, or the dean.
13. If you are on academic warning or probation, you are required to meet with your advisor on a regular basis.

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. The plan for helping students on probation includes:

1. 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.
2. This plan is executed at the departmental level and would include
 - Hold regular individual meetings with students on probation.
 - Advise 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.

14. Academic Probation Policy

Policy Name	ACADEMIC PROBATION		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

14.1. Academic Probation (Undergraduate Programs)

- If a student's CGPA is less than 2.0 in any regular semester, starting from his/her second semester at the university, he/she will receive an academic warning. The Registrar will place students on academic probation when their [CGPA](#) falls below 2.00 or when the Registrar is notified by the [college](#) that a student has failed to meet other conditions for academic progress that may apply in some majors. The Registrar will notify students and his/her sponsor in writing of their academic probation status and of any conditions associated with the academic probation.
- A student on probation must raise his/her CGPA to at least 2.0 within two semesters, not including the summer session.
- The study load of warned students will be reduced, as follows:
 1. First warning: a maximum of 15 credit hours among which three or six credit hours are repeated depending on the CGPA and the previous semester's GPA
 If a student having a first warning has failed to raise his/her CGPA to 2.0 or higher at the end of the following semester (excluding the summer semester), his/her case will be reviewed by the College Council. The council may take one of the following actions:
 - a. transfer the student to another program providing that his/her CGPA for the courses to be transferred is 2.0 or higher.
 - b. allow the students to continue in his major (This option is open only for students who can raise CGPA to 2.0).
 - c. dismiss the student from the university (If a and b are not satisfied).
 2. Second warning: a maximum of 12 credit hours among which six or nine credit hours are repeated depending on the CGPA and the previous semester's GPA.
- Student load can be raised by 2 credits upon dean request.
- If a student having a second warning has failed to raise his/her CGPA to 2.0 or higher at the end of the following semester (excluding the summer semester), students will be dismissed from the university.
- Students can be placed on academic probation only twice, and for no more than four semesters in total while studying at AU, whether for one or two academic probationary events. After that threshold is reached, students will be dismissed from the University if they have not achieved CGPA of 2.0.



- If a student attempts courses during the summer after being placed on probation, that term will not count as one semester on probation.
- When dismissing students from the university, the university may give students the option of reapplying for admission after a maximum of one calendar year has passed from the final day of the session during which the dismissal was implemented, or the university may choose to permanently dismiss students from the university, which means that it will not consider future applications from the student. The type of dismissal will be included in the letter from the [college](#), and recorded by the Office of the Registrar.
- Readmission applications are evaluated based on:
 - a. The total record of the student and consistent with the admission practices in effect at the time of application.
 - b. The student had studied courses (counted toward his degree) in another accredited university and raised his/her CGPA to 2.0
- A readmitted student is governed by the academic requirements in effect at the time of readmission.
- Academic probation and dismissal are permanently recorded on the transcript.

14.2. Academic Probation (Graduate Programs)

- A student will be put on probation if his/her CGPA is less than 3.0 starting from his/her first semester of studies.
- A student on probation needs to raise his/her CGPA to at least 3.0 within two semesters, not including his/her summer session.
- A student on probation will not be allowed to register courses unless he/she signs an undertaking to improve the CGPA to 3.0 or more.
- The study load of academically warned graduate students will be reduced to the relevant band set in their program by the Academic Council.
- After a second Warning, if the student fails to raise his/her CGPA to 3.0 or more, the College shall dismiss him/her from the program.
- The Graduate program coordinator may advise an academically warned student to repeat one or more than one course to increase his/her chances to raise his/her CGPA to 3.0.

15. Course File Policy

Policy Name	COURSE FILE		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2017

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

15.1. Statement

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

1. syllabi for the current and previous offerings of the course;
2. copies of all instructor teaching materials;
3. copies of all assessment instruments;
4. instructor worked answers and marking schemes for all assessment instruments;
5. examples from across the range of student performance of graded responses to all assessment instruments;
6. comprehensive instructor review of the presentation of the course, covering:
 - c. appropriateness of the course learning outcomes;
 - d. extent to which the syllabus was covered;
 - e. extent to which learning outcomes were met (with evidence);
 - f. appropriateness of textbooks and other learning resources;
 - g. appropriateness of assessment instruments in relation to learning outcomes;
 - h. appropriateness of the balance of assessment;
 - i. appropriateness of prerequisites;
 - j. general comments on any problems encountered with the course;
7. quantitative analysis of student performance during the course presentation (e.g., grade distributions);
8. summary of student feedback on the evaluation of the course.

15.2. Implementation

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



15.3. Review

This policy will be revised periodically to address any new requirements from the CAA.

16. Intensive Modes of Course Delivery Policy

Policy Name	INTENSIVE MODE OF COURSE DELIVERY		
Policy Owner	Vice Chancellor for Academic Affairs	Reviewed	Annually
Approved By	Council for Academic Affairs	Approved Date	2018

16.1. Statement

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.

16.2. Implementation

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, 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.

F. STUDENTS POLICIES



جامعة عجمان
AJMAN UNIVERSITY

1. Student Disciplinary Policy

Policy Name	STUDENT DISCIPLINARY		
Policy Owner	Deanship of Student Affairs	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	2017

1.1. Statement

This policy is made in recognition of the principle that the basis for dealing among members of the University should be one of mutual respect and is part of the process by which the University encourages adherence to such principles in the context of student behavior.

All members of AU, including students, are expected to conduct themselves in accordance with the regulations of the University, and the laws of the UAE. In particular, AU students are requested to play an exemplary and positive role in enhancing the reputation of the University by:

- demonstrating a clear commitment to their own learning
- conforming themselves to all specified time requirements for registration, class schedules, examinations and completion of assignments;
- ensuring that work presented is their own personal work;
- ensuring that all information presented to faculty members and administrative staff is accurate and true;
- conducting themselves in a courteous and proper manner in their dealings with faculty members, employees or other students;
- meeting their academic advisors regularly;
- respecting the property of others and of the University;
- reporting grievances to their academic advisor or the Dean of the College;
- not engaging in cheating, plagiarism, disruptive behavior or improper conduct which could damage the reputation of the University;
- not using AU's facilities for other than learning purposes without prior authorization;
- not falsifying documents or using falsified documents for any purpose related to the University;
- not distributing leaflets or collecting signatures on University premises or hostels without prior authorization;



- abiding by AU rules and regulations, and the directives of the academic and administrative staff; and acting in a way that will not cause offence to the culture of the UAE .

1.2. Content and Guidelines

- Any violation of University regulations or directives, or improper behavior, is considered as misconduct and will render the student liable to disciplinary action which may range from a verbal warning to dismissal from the University.
- In addition, if a student violates any rule or instruction during an examination, or is caught cheating, he/she will be asked to leave the examination room. In this event, the campus examination committee will interview the student on the day following that in which the incident occurred and will as a result submit a detailed report to the Chancellor of the University, in which the level of punishment is recommended. The level of punishment may range from the giving of an “X” mark for the course concerned, or failure in all courses for which the student is registered that semester.
- A copy of the decision of the Chancellor will be kept in the student’s file, and the Admissions and Registration Deanship will also inform the guardian as appropriate.

1.3. Proceeding

- Any member of the University community may bring a complaint against a student. A complaint must be filed to the Head of the SDC within two weeks of the incident or the discovery of the alleged infraction(s). The complaint should be concise and complete statement of allegations.
- The Head of the SDC shall set a time and place for the hearing within one week of the time the complaint is filed.
- The Head of the SDC will notify the respondent in writing of the complaint and the specific allegation filed. The respondent shall receive a written copy of the allegedly violated regulation and the time and place of the hearing through the student affairs.

1.4. Student Disciplinary Committee Rules

- The SDC shall meet regularly at scheduled times as required by the caseload.
- All committee hearing will be closed to public.
- Any member of the SDC having a particular conflict of interest in a case must abstain from participation in the hearing.
- Burden of proof (“clear and convincing evidence”) rests on the complaint.
- Witnesses may be called by the parties and/or by the SDC. Witnesses may be either witnesses to the actual event or character witnesses. Character witnesses may be called, if appropriate, during the sanction phase of the hearing. The SDC may, by majority vote, reasonably limit the number of witnesses for such reasons as redundancy or irrelevancy. Witnesses may be excluded from the hearing until testimony is to be presented.

- The complaint, the respondent and the members of the SDC shall all have the right to examine and cross-examine witnesses.
- All evidence offered must be relevant, not privileged and legally acquired.
- The SDC will determine the acceptability of evidence by majority vote.
- The respondent has a right to remain silent to avoid self-incrimination.
- Should the respondent be unable to attend a scheduled hearing, the time and place of which will have been made known in advance to the SDC and in writing, he/she must notify the Head of the SDC at least two working days in advance of the scheduled hearing, except in extreme emergencies, and for good cause, so that the hearing may be rescheduled by Head of the SDC. If the respondent fails to notify the Head of the SDC of his/her inability to attend the scheduled hearing as described above, the SDC will hear the case in the respondent's absence. The complainant should also attend any scheduled hearing, except in extreme emergencies in which case he/she must immediately notify the Head of the SDC and justify his/her absence. If the complaint fails to attend a scheduled hearing without the above-mentioned notification and justification, the SDC may dismiss the case.
- In closed session, the SDC, after due deliberation will decide whether, by clear and convincing evidence, the respondent is or not in violation of the code as charged.
- After deliberating, the SDC will determine the appropriate sanction.

1.5. Sanctions

- The SDC will recommend sanctions consistent with the severity of the offense. Standard sanctions such as warning, fines or assessments for damages to the University property may be appropriate for lesser offense. The SDC may recommend sanctions reflecting the nature of particular offense. Repeat offenders may receive harsher sanctions. For more serious matter such as behavior that disrupt or delay operation or compromises the safe environment or integrity of residential halls or University, suspension or dismissal from the residential hall or the University may be recommended.
- One or more of the following sanctions may be imposed upon a student for violation of disciplinary regulations. The SDC is not limited to the list of sanctions provided below and may recommend new sanctions. However, all sanctions, when appropriate, may be modified, deferred or suspended by the University Chancellor. The sanctions that may be imposed are as follows:
 - Verbal warning.
 - Written warning.
 - Depriving the student of all or some of the privileges, services or extracurricular activities provided by the University for a period not exceeding two semesters and without refund of fees.
 - Depriving the student of completing the course in which the violation is committed; Awarding a failing grade on the course and obligating the student to pay the course fees.
 - Depriving the student of completing the whole semester in which the violation is committed; awarding a failing grade on all of the semester courses he is enrolled on and obligating him to pay the fees.



- Suspension from study for one or more upcoming semester.
- Expulsion of the student from University and awarding him a failing grade on all of the courses of the semester in which the violation is committed; obligating him to pay the fees. The student shall not benefit from his academic record.
- Expulsion of the student from University; awarding him a failing grade on all of the courses of the semester in which the violation is committed; student shall not benefit from his academic record neither shall his fees be refunded.

1.6. Implementation

- The Head of the SDC should forward the case record to the University Chancellor within two working days after the hearing.
- The Chancellor may approve or disapprove the sanction. In case of disapproval it will be referred back to the SDC through the University legal advisor. In this case the SDC will review the sanction and resubmit it back to the Chancellor.

1.7. Emergency

- In the instance of severely and willfully disruptive behavior, or when the ordinary rights of any member of the University community are threatened by the continuing presence or activity of student or students in the residential hall or elsewhere on the campus, the Chancellor may suspend such student(s) from participating in residential life or other campus activities, pending the outcome of the hearing.

1.8. Informing the student

- The students will be informed of sanction in writing through student affairs. Copies of the sanction will be kept at the University archive and another copy will be kept in the student file at the registration. The office of student affairs will inform parents or guardians of students misconduct when:
 - The sanctions involve fines.
 - The sanction involve failing in one or more courses.
 - The sanctions involve suspension from the University.
 - The sanctions involve dismissal from the University.
 - A student is found responsible for a second violation of the code of conduct.

2. Student Academic Integrity Policy

Policy Name	STUDENT ACADEMIC INTEGRITY		
Policy Owner	Deanship of Student Affairs	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	2017

This document sets out the University's policy, which regulates the sanctions taken against students for academic dishonesty. The disciplinary committee is the authorized body to recommend actions against offenders of the Academic Integrity.

2.1. Plagiarism

The violation of academic integrity refers to plagiarism, that is the use or appropriation of ideas or work of other people and the representation of them as one's own original work. Ajman University deploys a powerful plagiarism detection software as well as other verification tools to detect any act of plagiarism. The violation of academic integrity encompasses a wide range of intellectual and creative production forms, such as:

- Written research, books, articles, and theses.
 - Graphic illustrations, images, and motion pictures.
 - Graphs, maps and models
 - Audiovisual material
 - Online blogs
 - Creative production on social media platforms
-
- a. Students are requested to submit their own work to be used for evaluating the level of achievement of a specific learning outcome.
 - b. Each faculty should explain to his/her students that he/she is interested in evaluating their own work and not the work of others.
 - c. It is not forbidden to reproduce an idea or sentences from a book or an article as long as the student uses quotation marks and give its source.
 - d. There is no usage in reproducing sentences if the student does not refer to them in his/her sentences. Every submitted project is expected to contain a reference section in which the student lists all the materials that he/she consulted or used in the project.

2.1.1. Examples of Academic Integrity Violations

The following list includes, but is not limited to, examples of violations under the Academic Integrity policy.

Plagiarism	Test and Exam Rules	Other violations
Failing to acknowledge sources through the use of proper citations when using another's works and/or failing to use quotation marks.	Attempting to read other students' exam papers.	Co-operation or collaboration on an academic assignment, in whole or in part, when the instructor has indicated that the assignment is to be completed on an individual basis.
Submitting any work written, in whole or in part, by someone else.	Speaking to another student (even if the subject matter is irrelevant to the test).	Disruption of classroom activities or periods of instruction.
Submitting a project by a third party, developed without major modifications as ones own.	Leaving answer papers exposed to view.	Improper access to confidential information such as exams or test questions.
Using ideas or material without appropriate acknowledgment in any academic assignment.	Writing an examination or part of it, or consulting any person or materials outside the confines of the examination room without permission to do so.	Misrepresentation of facts for any academic purpose.
Using another's data or research findings.	Using material not authorized by the examiner.	

Cheating:

Any student who is caught in possession of written information relevant to the course, messages by mobile phone, or transmitting written or verbal information to his/her classmates shall be considered a cheater. This includes also the following:

- Using a book, magazine, research, computer or internet file.
- Using scraps, slips or copies.
- Using signs to convey information.
- Sending or receiving information through mobile phone.
- Writing on wall, ground, chair, clothes or body.
- Using every other means of information not allowed by the university regulations.

Trying to cheat:

Any student who is caught in possession of written information, messages sent by mobile phones, or transmitting written or verbal information to his/her classmates shall be considered trying to cheat. This also includes what follows:

- Looking at the answer sheet of another student.
- Talking with classmates in the examination room.
- Possessing a mobile phone.

- Possessing papers or any other means that comprises information relevant to the subject of exam, but not shown up.

2.2. Procedures Regulating Irregular Behaviors during Sit-in Exams

All cases of cheating or trying to cheat, disturbing the peace and calm of the examination room, disrespecting one of the invigilators, impersonating an examinee or engaging someone else to take the exam by-proxy shall be reported to the College Examination Committee by all the invigilators.

- The invigilator shall notify the student who is caught cheating or trying to cheat to see the chair of the College Examination Committee by means of a form designed by the Central Examination Committee and by which he/she will be informed of the place and time of his/her appearance before the Central Examination Committee.
- The College Examination Committee shall refer the report to the Central Examination Committee in turn submits it to the University Disciplinary Committee
- The University Disciplinary Committee shall conduct the investigation with the cheater (or trying to cheat) and report all available witnesses within no more than 48 hours, then a report shall be submitted. In case the student does not attend in the assigned time, he/she will be subject to an investigation that will be conducted in absentia.
- The University Disciplinary Committee shall be entitled to take the decision to keep the report in case the infraction is not supported by any evidence; the decision is deemed definite and the student may be allowed to re-sit the examinations.
- The Chair of the Central Examination Committee shall refer the report to the University Disciplinary Committee to take the appropriate decision with regard to the infraction the examinee is accused of.
- Once asked by the invigilator, the examinee who is caught cheating or trying to cheat shall quit the examination room.

2.3. Disciplinary Penalties

1. Written warning.
2. Awarding a failing grade on the course in which the student commits the violation; student shall pay the full course fees. Such penalty shall apply when a student is caught cheating or attempting to cheat in exams, or caught in possession of notes relating to the exam subject matter, or in possession of a mobile phone or any other electronic device even if it is switched off. This penalty shall apply if the breach is the first to be committed by the student. The cheating case shall be noted in the student's record of grades and marked with "X" for that course.
3. Awarding a failing grade on all courses of the semester in which the student commits the violation and obligating him to pay the full course fees. Such penalty shall apply when a student is caught cheating or attempting to cheat in exams; or caught in possession of notes relating to the exam subject matter, or in possession of a mobile phone or any other electronic device even if it is switched



off. This penalty shall apply if the violation is the second to be committed by the student. The cheating case shall be noted in the student's grades record and be marked with the character "X" for all courses in the semester.

4. Expulsion of the student from University and awarding him a failing grade on all courses of the semester in which the violation is committed. The student can benefit from his academic record but will have to pay the fees. Such penalty shall apply when a student is caught repeating for a third time an act of cheating or an attempt to cheat in exams; or caught in possession of notes relating to the exam subject matter, or in possession of a mobile phone or any other electronic device even if it is switched off.
5. Expulsion of the student from University and awarding him a failing grade on all courses of the semester in which the violation is committed. The student cannot benefit from his academic record and his fees will not be refunded.
6. Upon a written request submitted by the student to the Office of Admissions & Registration, the X mark may be removed if the student maintains his record clean up until his graduation.

3. Student Grievance and Appeal Policy

Policy Name	STUDENT GRIEVANCE AND APPEAL		
Policy Owner	Deanship of Student Affairs	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	2017

3.1. Statement

The student appeal policy guides the student through steps of filing an appeal for reconsidering or changing an academic grade or decision. On occasions, a student may disagree with the academic decision of a faculty member. The University provides an appeal process for the student to request reconsideration of an academic decision. Academic Appeal is petition to change a decision basis for a student appeal matter. The decision may be either that the academic judgment was unfair in the view of the student or that the Department academic decision is applied incorrectly in the view of the student.

The Dean of Student Affairs forwards the student grievance to the Chairman of the Student Grievance Committee who will arrange a meeting to hear both parties and witnesses, as appropriate. The committee will then deliberate upon its findings and make a recommendation to the University Chancellor who will take the final decision, to be communicated to both parties.

3.2. Preliminary Steps

To initiate or pursue a grievance, the following steps must be observed no later than three weeks following the occurrence of the faculty member decision.

Step 1. The student should first discuss the matter with the person or persons directly involved, in an attempt to resolve the issue through informal discussion.

Step 2. If there is no resolution in step 1, the student should discuss the matter with the head of Department to whom those directly involved report (or if the head of department is directly involved, with the College Dean. If the College Dean is directly involved, with a senior management staff who shall attempt to mediate an informal resolution).

Step 3. If reconciliation has still not been achieved, the student shall submit a written statement of his grievance to the Appeal Committee through the Dean of Student Affairs. The statement shall contain:

- a brief narrative of the condition giving rise to the issue;
- a designation of the parties involved; and
- a statement of remedy requested.
- Formation of the Student Appeal Committee:



At the beginning of each academic year the University Chancellor shall appoint five faculty members to form the Student Appeal Committee. The Chancellor also appoints the Head of the committee.

3.3. Committee Action

Upon receipt of a written statement of an academic grievance request, the head of Student Appeal Committee (SAC):

- Determines prior to considering the case whether discussion between the persons directly involved, Head of department, and College Dean have been exhausted in attempting to resolve the issue.
- Notifies the parties named in the statement of receipt of a complaint naming them, and sends a copy of the statement to the named parties and to all committee members.
- Meets within two weeks after receiving the written statement to review the written statement and renders a decision as to whether sufficient ground is present to warrant a hearing.
- Notifies the grievant and the named parties of its decision in writing. If a hearing will be held, the SAC notifies in writing all parties involved, including witnesses, of the date, time and place of the hearing at least one week prior to the date set.
- Informs the parties that the providing of proof rests with the grievant.
- Requests in writing from all parties involved any pertained material deemed necessary for review by the committee prior to the hearing. These materials, plus any additional materials either party chooses to submit must be made available to the committee no later than four days prior to the hearing. Any person named in the grievance may submit a written statement to the committee outlining issues from their perspective.
- All communication among the committee, the grievant(s) and person(s) named in the statement of complaint will be confidential.

3.4. Hearing Process

- All hearing conducted by the Student Appeal Committee shall be conducted confidentially in the following manner:
- The Grievant(s) and respondent must be present during the information gathering portion of the hearing. Witnesses will be available, and called when needed. The committee reserves the right to allow the presence of a secretary.
- All statements during the information exchange phase of the hearing will be written.
- Any committee member may question any of the participants at the hearing, at any time during the proceedings.
- The grievant will present his/her statements and/or witnesses to the committee.
- The respondent will have the opportunity to question the grievant(s) and witnesses about their statements.
- After all information is exchanged, all persons, other than the committee members and the secretary will leave the committee room. The grievant(s), respondent(s) and witnesses will

continue to be available to the committee should further information be needed.

1.10 Decision

The Dean/ Chair of SAC shall approve or reject the committee recommendation(s) within two weeks after it is received, unless the Dean/ Chair of SAC feels that more information is necessary, in this event the case will be referred back to the committee for further findings prior to decision. If the decision of the Dean/ Chair of SAC is not in accordance with the committee's recommendation(s), he shall state the reason for that decision, in writing, to the committee. The Dean/ Chair of SAC shall then take appropriate action to implement his decision. The grievant(s) and respondent(s) will be informed in writing of the Dean/ Chair of SAC's decision.

3.5. Appeal

1. The student may appeal the disciplinary decision issued against him in a letter addressed to the Chancellor or his authorized representative. The student shall submit the letter within a maximum of seven working days of his being notified of the decision, verbally or in writing, as per the academic calendar, otherwise the decision shall be final and enforceable.
2. The appeal shall only be accepted on procedural grounds if it is lodged within the legal deadline and it involves one or more of the following:
 - Failure to observe the investigation procedures provided for in the University policies and procedures.
 - Emergence of previously unknown evidence which might have influenced the decision.
 - The disciplinary action is not commensurate with the violation.
3. If the Chancellor or his authorized representative accepts the appeal on procedural grounds, he shall refer the case file back to the Committee for re-consideration, and its decision shall be final and enforceable.
4. Notification via the email provided to the student by the University or via a text message sent to the student's mobile phone registered with the University's Admissions and Registration unit shall be legal and acceptable.
5. Appealing a disciplinary decision shall not lead to the aggravation of penalty against the appellant.

4. Student Activity Policy

Policy Name	STUDENT ACTIVITY		
Policy Owner	Dean of Student Affairs	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	2017

This document sets out the University's policy, which regulates student activities supervised by the Deanship of student affairs.

- The Office of Student Affairs 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 Affairs, Deanship of Student Affairs 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 Student Activities Section (SAS) of the Office of Student Affairs is responsible of organizing several activities that should span a wide range of interests, covering social, cultural, artistic, and sport activities.
- The SAS should also act as the central support for a variety of student societies.

4.1. 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 SAS 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.
- 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 SAS 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.

Art Activities

- a. The SAS 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 SAS 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 SAS is responsible for managing the usage of AU sport complex and facilities: fields for football, handball, basketball and volleyball, and the gymnasium.
- b. The SAS 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.

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 Affairs is responsible for supporting clubs, which exists in Deanship of student affairs 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 Office of Student Affairs .

5. Student Right and Responsibility Policy

Policy Name	STUDENT RIGHT AND RESPONSIBILITY		
Policy Owner	Dean of Student Affairs	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	2017

This document sets out the University's policy, which regulates the Rights and Responsibilities of students during their period of studies at the University.

5.1. Student rights

- a. The Student Affairs Deanship is responsible for ensuring that the academic staff and non-academic staff are informed of the rights of students.
- b. Each academic advisor is responsible for ensuring that his/her advisees are aware of their rights during their study at AU.
- c. Each student has the right to receive the course description of his/her courses which includes the learning outcomes of the course, and the assessment methods used to determine his/her Final Grade in each course.
- d. Each student has the right to expect that his/her Instructors masters the subject and are open to discussion of different points of view or ideas related to the content of the course.
- e. Each student has the right to classes in which the Instructor does not propagate his/her points of view on subjects, which are not relevant to the content of the lecture.
- f. Each student has the right to object to changes of the schedule of his/her courses after the end of the Add/Drop Period.
- g. Each student has the right to be received by his/her instructors during the office hours, which are published by the Instructors.
- h. Each student has the right to receive, on time, the copy of his/her assignment, quiz, project, Lab report, after having been graded by the Instructor.
- i. Each student has the right to introduce a Grade complaint request about his/her Final Grade during two weeks after the announcement of the results.
- j. Each student has the right to request an adequate learning environment atmosphere during his/her lecture
- k. Each student has the right to be received, after taking an appointment if required, by his/her Head of Department, Dean of College, deans/managers of service units, and by the Vice-Chancellors.
- l. When a student believes that one of his/her rights was violated, he/she has the right to seek redress using the published procedures, which are available in the student handbook, bearing in



mind that the University aims to resolve conflicts at the lower level.

- m. Each student has the right to raise his/her concern to the Dean of Student Affairs who is the most appropriate staff member to resolve conflicts.

5.2. Student Responsibilities

- a. Each student is responsible for reading the policies and regulations that are published in the student handbook which is, available on the University website www.ajman.ac.ae
- b. Each student is responsible for making progress to achieve his/her educational goal.
- c. Each student is responsible for the selection of his courses after consultation with his/her academic advisor.
- d. Each student is responsible for checking that registered courses were not cancelled during the Add/Drop period by the College.
- e. Each student is responsible for finding legal financial sources to finance his/her studies.
- f. Each international student is aware that the University is not responsible for obtaining the residence visa for him/her if it was declined by the competent administration.
- g. Each student is responsible for his/her compliance with the Code of Conduct, which is published in the student handbook.
- h. Each student is responsible for the consequences that follows the discovery that he/she used falsified document(s) for his/her admission or during his/her studies at the University.

6. Student Counseling Policy

Policy Name	STUDENT COUNSELLING		
Policy Owner	Dean of Student Affairs	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	2017

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.

6.1. Overview

- All students at AU have access to the social and psychological benefits associated with mental health issues provided the University Student Counseling office.
- Student counseling office (SCO) works with students struggling with a variety of personal issues. Ensuing are some of the common concerns:
 - Adjustment to college life
 - Academic challenges
 - Issues of past, recent, or present physical, emotional problems
 - Emotional distress (anxiety, stress, grief, depression)
 - Low self-esteem - feelings of inadequacy
 - Relationship issues (marital, friends, roommates)
 - Past or recent losses or trauma
 - Spiritual challenges
 - Body image, eating, and nutritional concerns
 - Crisis situations when life gets overwhelming (including feeling suicidal and all other mental-health emergencies)
 - And many other unique issues specific to each person.
- Any effective system for administering counseling student mental health benefits must accommodate a wide variety of student circumstances. More frequently than not, these

accommodations conflict with each other, so a single procedure to be followed by each student is not likely to satisfy all students. Therefore, the system that has evolved is designed to provide options meeting as many needs as could be anticipated at the time this document was prepared.

- i. If it becomes clear in the counseling session that there is a real danger to oneself or to others, we are required to take action.
- ii. Additional records of sessions are sometimes taken such as the counselor's personal notes and audio tapes. These are destroyed in a timely manner and do not become part of an individual's counseling record.
- iii. Each individual is entitled to privacy in his/her work with a counselor.
- iv. All contacts with the counselor are confidential to the Student Counseling office professional staff.
- v. Written permission is required for Counseling Services to release information to others outside the Counseling Services.

6.2. 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 Student Counseling office with at least 24 hours' notice on two consecutive occasions, the student's next appointment will be at least 30 days from the last cancellation.

6.3. Guidelines for Housing/Counseling considerations

- These guidelines will be used when reviewing the housing counseling request.
 - a. The process of verifying and reviewing a Counseling Request can take one week or more before a decision is made and the student is informed of the decision.
 - b. The student is strongly encouraged to sign a Release Form with his/her Medical/Mental Health Professional. This will allow the University Housing to verify the submitted information.
 - c. If the student is currently seeing a Medical/Mental Health Professional, the student will need to provide documentation from the Medical/Mental Health Professional, on the professional's stationary, detailing:
 - i. Length of time the student has been seen/under treatment by the Medical/Mental Health Professional.

- ii. Treating Medical/Mental Health Professional's contact information.
 - iii. Psychological disorder.
- If the student is not currently seeing a Medical/Mental Health Professional, the student will need to do the following:
 - a. Make an appointment with a Medical/Mental Health Professional.
 - b. Be seen or under treatment for a minimum of FOUR visits (more visits may be necessary if clinically required) with the Medical/Mental Health Professional.
 - c. Provide documentation from the Medical/Mental Health Professional, on professional's stationary detailing:
 - i.Length of time the student has been seen/under treatment by the Medical/Mental Health Professional.
 - ii.Treating Medical/Mental Health Professional's contact information.
 - iii.Psychological disorder.
 - d. At AU student Counseling office, the student's issue must be clinically significant and be directly related to the Housing situation. Merely having a psychological disorder does not indicate that the Medical/Mental Health Professional will recommend that a Housing contract be cancelled. Each request will be reviewed by the entire clinical team before a recommendation can be made. Ultimately, the final decision will be made by University Housing.

6.4. Release of Policy Information

- All communication between a student and a counselor, psychologist, or is confidential and will not, except under the circumstances explained below, be disclosed to anyone outside of the Counseling Services unless written authorization to release information is given.
- A Release of Information Form will need to be signed to have a Counseling Services professional staff communicate the information to any concerned party.
- A record is kept of a student's work with the UCC. It contains information a student has provided to the Counseling Services in writing as well as counseling notes from the student's sessions. The record remains in the Counseling Services for a period of three years following the student's last visit; at that time, it is destroyed.
- Most limits to confidentiality are to ensure safety. If there is evidence of imminent danger of harm to the student or other(s), the UCC will take action.
 - Counseling information cannot be released to the following without the client's consent:
 - a. Parents or guardians, spouse, siblings, or significant other
 - b. Another doctor, lawyer, or health organization
 - c. Insurance company.
 - Procedure:
 1. A student may review his counseling record in the confines of the Counseling Services office with a counselor and only by appointment.



2. A student wishing to grant release of information to another party must complete the Release of Information form.

6.5. Student Complaints/Grievances

- Student complaints are handled largely through the existing chain of command
 - a. If a student has a complaint about an employee or consultant of the Student Counseling office Services or Health Service, he or she is directed to speak with that employee's director, or if necessary, the immediate supervisor of the employee.
 - b. The complaint should initially be lodged informally by speaking with someone in the department. However, the complaint can be lodged more formally in writing first to the Director within five (5) working days of the incident.
 - c. The written complaint or grievance should include a description of the incident, date, time, and persons involved in the complaint.
- The director shall then respond to the grievance in writing within five (5) working days of the date the grievance was signed and filed
 - a. If the student is not satisfied with the outcome of that discussion or response, he or she is directed to the next higher level of administration. In each case, careful consideration is given to the emotional stress the student may already be in as well as any complications arising from a possible mental or physical illness.
 - b. If a complaint comes from a non-student, it is handled administratively first by the director, then by the Dean of Student Affairs, and finally, if necessary, the Vice-Chancellor's for Academic Affairs Office.
 - c. The Director reserves the right to consult with the Legal department of the University around issues or complaints that may have legal implications.
 - d. Documentation of a student complaint would become part of the confidential record.
- If the student is not satisfied with his or her current counsellor or health care provider
 - a. He or she can select another counsellor within the department or accept a referral to another provider outside the University.
 - b. Any costs incurred by the student seeking these services outside of the University are not covered by the University.
- Any complaints, if found to have merit, will be used in the supervision of the employee involved to improve the person's skills and function. If the complaint is significant, the student may take legal action.

7. Student Finance Policy

Policy Name	STUDENT FINANCE		
Policy Owner	Chief Operating Officer	Reviewed	Annually
Approved By	University Cabinet	Approved Date	2017

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.

7.1. 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, Architectural Engineering, Interior Design, and Law undergraduate programs are required to pay a seat reservation deposit as stated in the table below. 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.

Program	Deposit (AED)
Bachelor of Medicine and Bachelor of Surgery (MBBS)	25,000
Doctor of Dental Surgery	21,000
Bachelor of Pharmacy	12,000
B. Sc. in Architectural Engineering	8,000
Bachelor in Interior Design	4,000
Bachelor of Law	4,000



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.

7.2. Tuition fees

- a. **Undergraduate credit hours fees:** Tuition fees for courses and programs are determined in accordance with the credit hours system as follows:

Tuition fees for the Bachelor's programs offered at AU

College	Degree	Total Cost	Average cost per year
Medicine	Bachelor of Medicine and Bachelor of Surgery (MBBS)	630,000	110,000

College		Fee per one credit hour (AED)
College of Dentistry		2,000
College of Pharmacy and Health Sciences		1,500
College of Information, Mass Communication and Humanities		1,025
College of Law		1,100
College of Information Technology		950
College of Engineering	B.Sc. in Biomedical engineering	1,300
	B.Sc. in Electrical Eng. (Electronics)	1,300
	B.Sc. in Electrical Eng. (Communication)	1,300
	B.Sc. in Electrical Eng. (Instrumentation & Control)	1,300
	B.Sc. in Architectural Engineering	1,500
	Bachelor in Interior Design	1,300
College of Education and Basic Sciences		950
College of Business Administration		950
Unit of General Studies		1,150

- b. **Graduate credit hours fees:** Tuition fees for graduate course and programs are determined in accordance with the credit hours system as follows:

Tuition fees for the Graduate programs offered at AU

College/Institute	Major	Fee per one credit hour (AED)
Institute of Environment, Water and Energy	M.Sc. in Groundwater Engineering & Management	2,000
College of Engineering	M.Sc. in Architecture & Urban Studies	2,500
College of Business Administration	MBA: Human Resources Management	2,000
	MBA: Financial Management	
	MBA: Marketing	
College of Law	Master of Law (Public Law)	2,200
	Master of Law (Private Law)	
College of Education and Basic Sciences	Professional Diploma in Teaching	1,000
College of Pharmacy and Health Sciences	M.Sc. in Pharmacy (Clinical Pharmacy)	3,125
	M.Sc. in Pharmacy (Pharmaceutical Technology)	
College of Dentistry	M.Sc. in Restorative Dentistry	420,000 per program (3 years)

❖ ***Laboratory, Clinic and Studio Fees (Fee payable every semester)***

This fee includes laboratory fee of courses offered by the College but it excludes Lab fee of courses of the study plan offered by other Colleges.

College	Dentistry			Pharmacy
	1 st -3 rd year	4 th & 5 th year		
Fees (AED)	4,000	Clinics	Productive Lab	2,600
		6,000	3,000	

- Students registered in the programs of Architectural Engineering and Interior Design will pay a studio fee of AED 1,500 per semester.
- Students registered in the program of bachelor of Arts in Mass Communication will pay a studio fee of AED 1,025 per semester for each registered course having Radio/TV session.
- Students registered in the program of bachelor of Arts in Mass Communication will pay a studio fee of AED 1,025 per semester for each registered course having Radio/TV session.
- ❖ **Course Laboratory fee:** Students registered in courses having lab sessions offered by colleges other than College of Dentistry and College of Pharmacy, will be charged an additional fee of AED 650 per course.
- ❖ **Orientation Course Fee:** New students pay a fee of AED 1,150 for the Orientation Course, which



is taken during the first semester of enrolment.

❖ **Additional Fees: The student pays the following additional fees:**

- Additional lab fee for each registered course having lab sessions offered by colleges other than College of Dentistry and College of Pharmacy: AED 650
- Additional fee for courses having a tutorial sessions: AED 550
- Additional fee for graduation project courses at the College of Information Technology AED 600
- Additional fee for graduation project courses at the College of Engineering: AED 600
- Additional fee for internship courses: AED 800
- Student service fee per semester: AED 300
- Application fee for an incomplete course: AED 500
- Reference letter: AED 30
- Extra copy of the academic transcript: AED 100
- Grade grievance application: AED 100
- ID card, per academic year: AED 25
- Additional fee of AED 500 per each registered course taken as independent studies.
- AED 200: penalty for each bounced cheque.

The University reserves the right to increase the tuition and other fees up to 10% per academic year when deemed necessary.

7.3. Refund

a. Add/Drop Period:

- The add/drop period is two weeks from the start of the course. During this time, students may add or drop courses without incurring charges. If a student adds one or more course(s) during add/drop period, he/she must pay additional fees for the added course(s) at the time of submitting the application, or the application will be rejected.
- If a student withdraws from one or more courses during add/drop period, the fees of the dropped course(s) will be credited to his/her account for the following semester.
- A student may withdraw from one or more course(s) after the end of add/drop period, provided he/she remains registered in at least three courses that semester. In this case, the student does not have the right to claim any refund for the fees of the withdrawn courses.
- If a student wishes to reclaim any money from a credit balance, he/she must fill in an Application for Refund Form and submit it to the Student Account Officer after the end of the add/drop period. If the student fails to do this, the money will be credited to the student balance for the following semester.

b. 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.

c. 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 one week after the submission of the application for refund to the Student Accounts Office.
- 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.

d. 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.

7.4. 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.



8. AU Student Records Policy

Policy Name	AU STUDENT RECORDS		
Policy Owner	Registrar	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	2017

This document sets out AU's policy on the collection, use and disclosure of personal information that forms part of the official student record. It applies to the Office of Admission 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.

8.1. Student Record

- Ajman University creates and maintain academic record for each student who is admitted in the University. This record shall be created at the time of admission, and shall be maintained throughout the duration of the student's enrollment as the official record of the student's academic activities, transactions, performance, and achievements.
- Academic transcript represents is the transactional certification of the student's performance and academic status within the University including degrees awarded.
- The Student Information System (SIS) is the University's official repository of student academic records. Only the Office of Admission and Registration can modify student information. Any request to access the Student Information System must get 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 Admission and Registration is the Custodian of student academic records and data, and the Custodian of Student Information System (SIS).

8.2. Maintenance and back-up of student record

- Hardcopy of student records are stored in a secure, fireproof cabinet on University premises.
- The University maintain a digital copy of student records (view IT pack up policy for digital copies)

8.3. Retention and disposal of records

- Hard copy of students' files will be kept by AU.
- The hard copy of the final course marks will be kept by AU.

- The final examination papers are kept by the Department for two semesters.

8.4. Permanent Academic Record

A permanent academic record reflecting the academic achievement of the student who registers at AU is maintained by the Office of Admission and Registration.

a. Student Records:

All documents submitted to the University in support of an applicant for admission become the property of Ajman University and, as such, become under the control of the Office of Admission and Registration. The University is not required to provide (or allow the making of) copies of these documents.

Transcripts from other institutions submitted to AU for admission or credit transfer become the property of AU and cannot be returned to the student or forwarded to other institutions.

b. Permanent student record file includes:

❖ **Administrative documents:**

- High School certificate, and grade certificate, equivalency certificate (when applicable)
- Passport's copy, Health certificate, Conduct certificate, and Photos
- Application form, any eventual undertaking.
- Address of the student

❖ **Academic documents**

- Grade transcript for each semester & timetable of registered courses.
 - Transfer credit information including names and dates of attendance at other post-secondary institutions, courses taken and credit hours and final grades earned, degrees, diplomas, and other awards, and related information.
 - Degrees and awards earned including date awarded, degree, College, major(s) and minor(s) and CGPA.
 - Academic disciplinary information, if applicable.
 - Any requested transaction such as: form of transfer to another major, add & drop form, change section form, suspension of study, request of transfer of courses and original transcript, complaint about a grade, incomplete request, absence warning, etc...
- Electronic copy of student records contains the following:
- Personal information including information about high school certificate.
 - Status of the student (regular, suspended, dismissed).
 - All academic transactions :
 - Grades & registered courses in each semester
 - Grade Transcript
 - All financial transactions.



8.5. Security and confidentiality

- a) Ajman University safeguard the privacy of students and confidentiality of their academic records.
 - Individuals with access to protected student academic records have an affirmative responsibility not to release that information to any third party.
 - Relevant offices with access to student academic records may not release any information without the prior consent of the student.
- b) Only authorized staff can execute result of grade complaint, or change spelling of the student's name. Furthermore, the Registrar has an information system that detects any eventual change of grades on the system. The history of all transactions can be traced.

8.6. Access to and disclosure of Information

Consent to disclosure of personal identification is within jurisdictions of UAE federal laws. The following are some exception, which permit disclosure without consent:

- Disclosure to university official with legitimate educational interest.
- Parents are given access to the student academic record unless the student requests otherwise and parents will be informed accordingly.
- Sponsors are given access to the student academic record unless the student requests otherwise, sponsors will be informed accordingly.

8.7. 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.

8.8. Student Record Retention and Disposal

AU is committed to protecting the security and confidentiality of protected information created or received in the course of business. The University's Record Retention Schedule prescribes the length of time that records created or received by the University must be retained. Once record reach the end of the scheduled retention period, they should be disposed off. Records disposition is the final phase of a record's life cycle. This policy outlines the appropriate methods for disposing of University records slated for destruction.

a. Items removed from student file upon graduation or withdrawal

- Add/drop forms (removed after submitting the clearance form)
- Letters of recommendation
- Correspondence not related to academic progress

- Acceptance letter
- Academic actions unrelated to academic honest.
- Letter of good conduct
- Medical report.

b. Items retained permanently in student file

- Application for admission or readmission
- Transcripts from other Universities
- Transfer credit requests that are rejected
- Entrance exams and test score reports (not applicable)
- Requests for course withdrawal
- Name change authorizations
- Transfer credit approvals
- TOEFL/ IELTS scores
- Degree audits
- Name change authorizations (repeated).
- Transfer credit approvals (repeated).
- Final transcript
- Information pertaining to academic honesty or violations of academic honesty policy
- Passport copy
- Photos
- Letter of good conduct (removed)
- Copies of high school certificates
- Medical report (removed).

8.9. 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.



8.10. Student Assessment Records

The main database of student results is SIS which is managed by Admission and Registration. The Office of Admission 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. Many other records related to students are retained in the University student file administered by the Office of Admission and Registration.

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.

8.11. Student result records

Although the official results records are those maintained by the Office of Admission 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.

8.12. 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.

8.13. Electronic Information

Disposition of electronic information must be performed in a manner that protects private or confidential information. The sale, donation, scrapping, or internal University transfer of computers or other electronic devices requires the secure destruction of information contained on the computer or electronic device.

9. Student Information Release Policy

Policy Name	STUDENT INFORMATION RELEASE		
Policy Owner	Registrar	Reviewed	Annually
Approved By	Vice Chancellor for Academic Affairs	Approved Date	2017

This document purpose is to outline the university's commitment to protect all members of the university community and ensure compliance with all applicable regulations.

➤ **AU releases information in accordance with the following guidelines:**

- a. The following may request information from AU database in support of approved activities. Those departments and units include but are not limited to:
 - Administrative units of AU
 - Academic units of AU
 - Higher Administration
 - Student Affairs Deanship
 - Career Development Center
 - Alumni Office
 - Law enforcement agencies.
 - Academic screening agencies (consent of the graduates).
- b. All requests from anyone else seeking information on another person will be forwarded to the registrar so that he/she can decide whether to contact the requestor.
- c. The office may release pass/non-pass grade information to student sponsors to facilitate their payments of AU coursework.
- d. The office will release student identification, contact, and other related information to the other department e.g. Student Affairs Deanship so it can:
 - Offer Society membership to new students.
 - Invite new students to its Meetings and Seminars.
 - Announce Deanship's sport and cultural activities.
- e. The office will release students' names, addresses, and information on examinations passed to colleges, department and class lecturers so they can monitor class pass ratios, or recognize educational achievement.
- f. The office do not release students' contact information to third parties for marketing purposes.
- g. Bachelor/Master/ Diplomas and certificates are the personal property of students. Upon program completion, a diploma or certificate is handed directly to the student unless the student authorizes its release in writing to another person or entity.



- h. The Registrar may publish a list of the academically warned students for the University and may publish other lists in AU's news site or media for recognition purposes.
- i. All requests for information from members of the media must be referred to the Office of External Relations and Cultural Affairs and Director of Internationalization. (not available at AU)
- j. Following is information that may be released from the office of Admissions and Registration database: Information available for release is limited to:
 - Full name
 - Address and telephone number
 - Degree(s) and date of degree(s) awarded by AU
 - Grade obtained (CGPA)
 - Employer address and telephone number
 - Email address
 - Fax number(s)
 - Miscellaneous comments, awards.
- k. Formats available for distribution of information. Information may be obtained in the form of lists, USP, and downloads by authorized University representatives in support of approved activities.
- l. It is the responsibility of the unit requesting information to maintain the absolute confidentiality of that information as specified in this policy statement.
- m. Compliance with the above policy. Failure to abide by any of the regulations stated within this policy may result in denial of access to information contained in the Admissions and Registration database.