



الجامعة الأمريكية في الإمارات
AMERICAN UNIVERSITY IN THE EMIRATES



Faculty Handbook

2018-2019



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1. INTRODUCTION

The Faculty Handbook is essential to the Faculty members of the American University in the Emirates, as key stake holders, for the dissemination and implementation of relevant policies that shall facilitate the operations of the academic sector.

The Faculty Handbook is circulated among faculty and relevant staff members. Faculty members have the responsibility to acquaint themselves with this document, as the presented policies and regulations are fundamental to their engagement at the American University in the Emirates. Faculty members shall be informed by the Provost and Vice President for Academic Affairs or the Human Resource Department of any amendments made to the Faculty Handbook, once these are officially agreed upon by the Academic Council, University Council, and the Board of Trustees.





2. UNIVERSITY VISION AND MISSION

2.1 University Vision

AUE is dedicated to be one of the leading higher educational institutions, providing an integrated pathway for students to become creative, effective, and productive members of the community.

2.2 University Mission

AUE is committed to offer quality, multidisciplinary, research and career-oriented academic degree programs that prepare students for successful employment and continuing higher education.

2.3 Core Values

AUE encourages all members of the University community to not only know and appreciate but also live its core values, on a daily basis. These values are intended to enrich the teaching and learning environment provided to our students, in such a way as to help students probe their own cultural perceptions, understand the

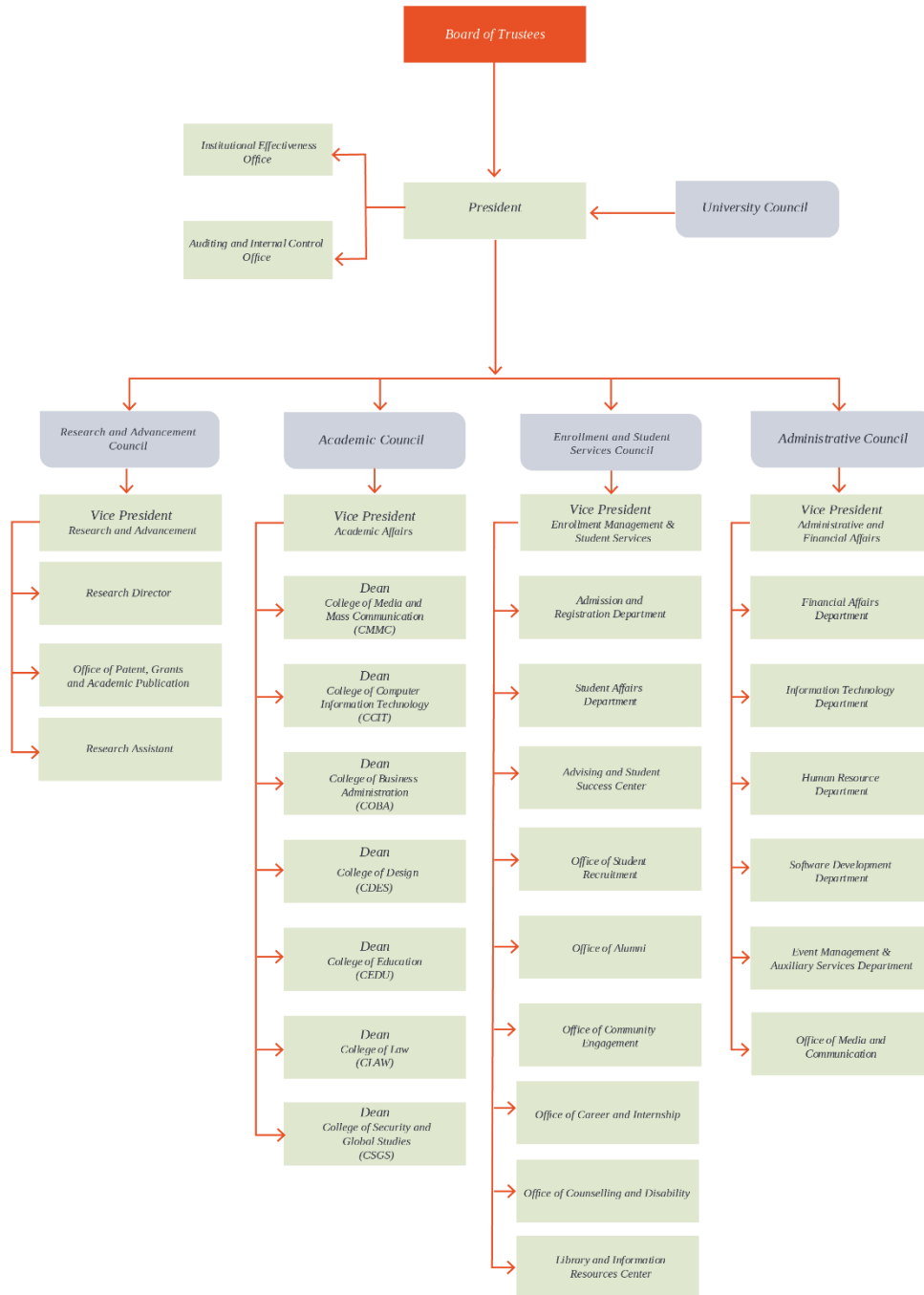
modal assumptions of other cultures, and develop their critical thinking competencies as well as their creativity.

This approach supports the inquiry-based approach to learning and enables students to take full advantage of university life. In this way, AUE graduates are more likely to become well-rounded, responsible citizens and leaders. The core values of the American University in the Emirates may be articulated as follows:

- » Respect and Dignity for all.
- » Openness, Trust and Integrity.
- » Innovation and Creativity.
- » Teamwork and Partnership for Common Goals
- » Persistence and Entrepreneurialism.
- » Stewardship and Economic Viability.
- » Equal Opportunities and Recognition.
- » Improved Quality of Life.
- » Safety and Environmental Responsibility.



2.4 University Organizational Chart





3. FACULTY EMPLOYMENT

3.1 Faculty Appointment

Faculty members and professional staff are appointed based on appropriate credentials, and qualifications that are suited to the field and the level of their position. Appointed full time and visiting faculty members are assigned to appropriate academic rank.

3.1.1 Full Time

Faculty members with full time appointment are expected to fulfil the faculty role and responsibility. Full time appointment starts at the beginning of the academic year, or at the beginning of the Spring Semester, and have four to six months (equivalent to one regular semester) of probation period.

3.1.2 Visiting

The appointment of a Visiting Faculty member is based upon the endeavor of teaching or other contractual duties within the academic unit for a defined period. Visiting faculty members can be appointed at any time during the academic year.

3.1.3 Joint Appointed

Based on demand, a qualified professional University staff could be assigned for a limited teaching load that can reach up to six-credit hours per semester.

3.1.4 Part Time

Faculty members recruited to carry out a specific mission for a limited duration and their availability is required only during contact hours, office hours and any other

assignments, and are appointed for a semester.

Guidelines for Part time appointment

- » Part time appointment is considered in case of inevitable situations.
- » Appointment qualification criteria that apply on full time faculty, apply also on Part-Time faculty members.
- » Academic units are expected to maintain a pool of qualified part time potential faculty.
- » Academic units are responsible to include the part time faculty in the new faculty orientation sessions, and monitor their course delivery and attendance.
- » Appointed part time should not constitute more than 25% of the total number of faculty members in the relevant Program
- » The appointment of Part-Time faculty members may be terminated at any time, with or without notice.

3.2 Academic Ranks

The faculty ranks at the University are; Instructor; Assistant Professor; Associate Professor; and Full Professor. Appointed Faculty are those who earned their degrees from accredited or recognized institutions.

In professional nature disciplines; professional certification and field experience are imperative for a teaching appointment; apart from academic qualifications.



3.2.1 Instructor

Appointing an instructor requires a master's degree and other appropriate qualification. Faculty appointed at the rank of Instructor is able to teach undergraduate general education and introductory courses.

3.2.2 Assistant Professor

The rank of Assistant Professor requires the fulfillment of appropriate research or creative activity, teaching, professional and community service responsibilities. Appointed Assistant Professor has completed a doctorate degree or its equivalent from an accredited University. Such faculty members should have proven outstanding competence in their field of specialization and should be committed to professional excellence in all their areas of responsibility.

3.2.3 Associate Professor

The rank of Associate Professor requires the fulfillment of appropriate research or creative activity, teaching, professional and community service responsibilities. Appointed Associate Professor has completed their doctorate degree or its equivalent from an accredited University, and has a minimum of four years' experience in higher education, promoted based on proven outstanding competence in their field of specialization.

3.2.4 Full Professor

Appointment at the rank of Full Professor requires the fulfillment of appropriate research or creative activity, teaching, professional and community service responsibilities. Appointment to the rank of Full Professor is granted to faculty members who have completed their doctorate degree or its equivalent from an accredited University. Such faculty members should have

a minimum of eight years' engagement in higher education, promoted based on proven outstanding competence in their field of specialization.

3.3 Faculty Role

Faculty members are expected to employ their professional expertise in teaching, assessing student work, academic advising, participating in administrative and committee activities, professional service, and community service.

3.3.1 Teaching

Research and practice driven teaching is one of the key role of faculty members and University pillars. Faculty members are expected to adapt latest pedagogical techniques that stimulate students to inquiry and to encompass a broad and coherent body of knowledge, attaining the skills and competencies through engaging delivery techniques and development of appropriate assessments that evaluates student learning. The University endorses respect, enthusiasm, engagement, and collaboration as teaching theme.

3.3.2 Supervision

The supervision of thesis, capstone and internship is part of the faculty role, student supervision embraces guidance, embedding the discipline competencies and autonomy in developing new approaches, managing professional activities in real environment.

3.3.3 Research

Research is a significant aspects of faculty members' responsibility at the University. All Full time faculty members are expected to engage in scholarly activities and contribute to



the Mission of the University. In addition, only research-active faculty members with documented evidence of being active researcher and a current record of research citations are eligible to teach in the Graduate programs.

3.3.4 Academic Advising

Faculty members are responsible to advise students. The role as an academic adviser involves guiding the students in the program learning outcomes, curriculum planning and career planning.

3.3.5 Evaluating Student Performance / Grading

Evaluating students' performance and grading is the responsibility of the faculty members. Providing clear assessment criteria that reflects course content and its learning outcomes, setting expectations to students, avoiding cognitive bias are theme of student performance evaluation.

3.3.6 Curriculum Development

Faculty members contribute to regular curriculum development and review through program and college committees upon assignment; the contribution comprises reviewing and improving the existing curriculum or developing new specialization or program.

3.3.7 Management / Administration

Faculty members might be allocated to administrative position within the academic department; or assigned through college committee, Task force or workgroup to accomplish particular assignment or project such as accreditation, recruitment, research administration, consultation, and service to university, discipline and to community.

3.3.8 Professional Development

Faculty members are responsible to acquire latest pedagogical techniques, discipline and professional certification, technology related development, and leadership development through attending in-campus and out-campus workshops, seminars and training.

3.4 Academic Administrators

A faculty member might be assigned academic and/or administrative duties and will be considered as Academic Administrator. All Academic Administrators shall be responsible for the fulfillment of their academic responsibilities based upon assigned position and related job responsibilities. Such positions are assigned considering the qualifications, experience and competencies required for each role.

The requisites for hiring/appointing any Academic Administrator shall be similar to regular faculty appointment in terms of the academic ranks as detailed above. Academic Administrators positions shall be President, Vice President, Deans, Associate Deans, Assistant to Deans, Program Directors, Program Coordinators, Department Chairs, and other positions as deemed appropriate in the academic units.

University articulates a detailed Job description of each administrative academic position in *Executive Management Handbook*.

3.5 Orientation of New Faculty

University conducts orientation, for all new faculty members (full time, visiting and Part time) during the first week of employment to familiarize the new joining faculty with the various academic and administrative units at the University.



The Orientation sessions provide information about the AUE's history, organizational culture and structure, initiatives, faculty related policies and procedures, faculty expectations, safety and security on Campus, employee benefits, and other available services.

Academic unit assigns peer to assist the new faculty members to build cultural experience among colleagues and units and to facilitate and enrich their onboarding experiences.

3.6 Faculty Workload

3.6.1 Teaching Load

The University adheres to the Commission for Academic Accreditation (CAA) standards for the faculty workload as follow:

- i. 15 credit hours, or equivalent, per regular semester for non-terminal degree holders teaching in undergraduate programs;
- ii. 12 credit hours, or equivalent, per regular semester for faculty members with terminal degrees teaching in baccalaureate programs;
- iii. 9 credit hours, or equivalent, per regular semester for faculty only teaching in graduate programs, or pro-rata for faculty teaching a mix of baccalaureate and graduate courses;
- iv. 6 credit hours, or equivalent, per regular or irregular semester for part-time faculty;
- v. 6 credit hours, or equivalent, in an irregular semester for full time faculty (optional)

In exceptional circumstances where teaching assignments in excess of the above requirements (overloads) are inevitable,

faculty members are compensated either through reduced teaching assignments in the next regular semester after the semester in which the overload is taught, or through direct overload compensation during the semester in which the overload is taught.

3.6.2 Teaching Load for Academic Administrators

Appropriate teaching load assigned for academic administrators is detailed in the table below (credit hours):

Faculty Members	Teaching Load
President	0
Vice President for Academic Affairs (Provost)	3
Vice President for Research and Advancement	6
Dean	6
Associate Dean	9
Chair of Department, Graduate Program Director, Undergraduate Program Coordinator	9
Joint appointed Faculty	6

3.6.3 Supervision Workload

Qualified and eligible faculty members can engage in Capstone, and Internship supervision, as a part of the workload, and calculated as below:

- i. Internship (Graduate and undergraduate): Every five students constitute one credit hour; the supervision should not exceed 15 students per faculty member per semester.
- ii. Capstone (undergraduate): Every five students constitute one credit hour; the supervision should not exceed 15



students per faculty member per semester.

- iii. For graduate thesis supervision, workload is not part of the teaching load and shall be compensated separately, and should not exceed five students per faculty member.
- iv. Independent study is considered as one credit hour teaching load.

postgraduate students are aware and are on track to make the necessary changes required by the supervising faculty.

3.7 Employment Records

The Human Resources Department maintains an official personnel file for each member of staff. Employees' files are kept in hard and soft copies, with an external back up. These files are confidential, and accessible only upon receipt of a written request, approved by the Vice President for Administrative and Financial Affairs and/or Human Resources Department.

3.8 Summer Teaching

Summer teaching options are subject to student demand for specific courses. While some Colleges within the University offer only limited summer courses, others offer a range of full-time summer courses. Faculty members are invited to teach these summer session courses. Summer session teaching is not considered part of the normal teaching load and is separately compensated, subject to completion of their teaching load as stated in section 3.6.1 above.

3.9 Graduate Assistants

Graduate Assistants defined as appointed qualified professional staff pertaining to research that provide aid to faculty members in supervising thesis by offering assistance in thesis course and ensuring that the



4. FACULTY MEMBER CONTRACTS

The faculty contract formalizes the recruitment and employment relationship between each faculty member and the American University in the Emirates, in writing.

4.1 Probationary Period and Appointment Length

Unless specified otherwise, appointments are based on unlimited contracts, the continuation of employment is subject to achievement assessment. The first four to six months of service is considered as the probationary period. A letter confirming the continuation of employment decision denotes appreciation of the faculty member's performance and trust in his or her potential for continuing progress. In the end of academic year, the Dean will discuss performance recommendations with each concerned College faculty member. A faculty member may be separated during the probationary period if his or her performance is unsatisfactory. In such a case, the faculty member is offered compensation based on UAE Labor Law number 8 of 1980.

4.2 Office Hours

All full time and full time equivalent faculty shall complete (8) working hours per day, including lunch break, for (40 working hours) per week, that shall include teaching, academic advising, office hours, proctoring, meetings, research, professional development, and community service.

Faculty member shall work (5) days a week, (44) weeks per academic year, with assigned working hours during the hours of University

operations based on their academic schedule and other requirements.

4.3 Appointment Extensions or Modifications

Any subsequent extensions or modifications of an appointment, and any special understandings, shall be stated and confirmed in writing by the University, following necessary recommendations.

4.4 Renewable Term Appointments

The University Faculty contract is an open contract in nature, which does not require renewal at the end of the academic year. However, all faculty members will receive an official letter of continuation of employment subject to meeting all necessary standards as stated in the Performance Assessment Manual.

4.5 External Employment

Any external employment by the faculty members is prohibited during their contractual agreement with the University, unless a formal request is submitted and approved by the concerned individual and offices.



4.6 Notice of Discontinuation of Employment

A faculty member must provide notice of his or her intention to leave the University in accordance with the following requirements:

- a. A faculty member's contract may be terminated within the probation period with no notice period.
- b. Faculty member may resign by submitting a written resignation to the College Dean one regular (only for fall and spring) semester, or three months, ahead of the intended time. However, the resignation will be considered valid only after receiving the approval from the Vice President for Academic Affairs.

4.7 Appointment Security

Appointment security may be defined as the assurance that no dismissal or forced resignation will apply, except for good reasons, such as:

- a. Poor performance without any response to improvement requests
- b. Continuing misconduct, after such behavior has been called to attention.
- c. Breaches of any Article of the Faculty Contract
- d. Contravention of Section 120 of UAE Labor Law; or
- e. Failure to maintain expected work performance standards.





5. COMPENSATION

5.1 Full Time Faculty

The University determines faculty members' salary ranges and conditions of recruitment at AUE. As a requirement of recruitment, a faculty member must work in one of the University's Colleges. The Human Resources Department ensures that the faculty member's pay is transferred to his/her account at the bank of his/her choice, as documented by a monthly pay slip.

5.2 Part Time Faculty

A Part Time Teaching faculty member shall receive payment for his or her contracted teaching workloads, on an hourly basis, at levels that will depend upon academic status as a Ph.D. or Masters as their terminal degrees. Detailed payment schedules will be made available through the University's Human Resources Department.

5.3 Increment and Reward

The increment and reward system in the University aims to enhance faculty members' performance and recognition. Hence, funds are granted based on merit and significant accomplishments in teaching, research, service and contribution to the University and community.

5.4 Promotion Adjustment

Faculty members shall be eligible for any adjustments in the salary in accordance to the new position within the established salary structure upon receiving the letter for promotion.

5.5 Overload

Overtime or additional duties shall not be considered unless a prior written assignment specifying an overtime duty by the supervisor: (Program Director, Chair of Department, Associate Dean, or Dean).

The pay rate for each additional hour will be determined based on the established AUE overtime policy.

5.6 Summer Teaching

Full time faculty members who are on their annual leave during summer semester and on their own decision accepted to teach courses not exceeding six credit hours will be paid for this extra credit hours on a part time basis in addition to their full-time employment existing wage (According to the University pay scale of part time faculty members).

Full time faculty members who are not on their annual leave during summer semester and on their own decision accepted to teach courses not exceeding six credit hours will be paid (50%) of the amount stipulated for a part time faculty member in addition to their full-time employment existing wage (According to the University pay scale for part time faculty members).

The above conditions are applicable only if the faculty members are exceeding their normal teaching load including summer semester as articulated in 3.6.1.

5.7 Housing

The housing allowance is one of the main salary breakdown components for all AUE



Full Time Faculty Members including academic administrators, and administrative employee; details can be found in their employment contract and both hard and electronic files.

Housing allowance is provided corresponding to the marital status and level of earned degree.

5.8 Travel Expenses

5.8.1 Faculty Members

Faculty Members including all academic administrators (excluding Vice Presidents) are eligible to receive a cash in lieu of return air travel tickets, based on IATA yearly updated rate, for himself/herself, spouse and up to two children residing in the UAE (18 years and below) upon completion of each one year of continuous employment, in Economy Class from UAE to the Capital of Country of Origin based on the passport utilized for visa stamping, subject to presence in the UAE.

5.8.2 Vice Presidents

Vice Presidents are eligible to receive a cash in lieu of return air travel tickets, based on IATA yearly updated rate, for himself/herself, spouse and up to two children residing in the UAE (18 years and below) upon completion of each one year of continuous employment, in Business Class from UAE to the Capital of Country of Origin based on the passport utilized for visa stamping, subject to presence in the UAE.

5.8.3 Limitations

- » Where a spouse is working elsewhere within the UAE, a non-duplication form duly filled and signed by the spouse's

employer covering travel benefits is to be provided to the HRD.

- » If the employee has been hired from outside UAE, he will be provided with a joining air travel ticket for self only.
- » If the employee has been hired from outside his country of origin, still the annual leave travel ticket will be provided based upon country of origin.

5.9 Repatriation

At the end of employment, all faculty members receive cash in lieu of one-way air travel tickets, based on IATA yearly updated rate, to the Capital of the Country of Origin for himself/herself, spouse and up to two children residing in the UAE (18 years and below), in Economy Class and business class for vice presidents, subject to presence in the UAE and completion of required clearance documents.

Limitations

- » This policy is not applicable for faculty members whom their employment is discontinued based on Article 120 from the UAE Labor Federal Law number 8 of 1980.
- » This policy is not applicable to faculty members who have ended their employment through resignation and intends to join another employer, inside the UAE, upon end of employment relation, as the latter shall bear the cost of the ex-employee repatriation at the end of his service.



5.10 Health Insurance

Medical insurance and health plan are provided to all sponsored AUE employees within the UAE. Faculty Members including, spouse and up to two children residing in the UAE (18 years and below) and under the employee sponsorship are eligible for the above mentioned Medical insurance and health plan.

Limitation and Exclusion

- » The employee may at his/her own expense add additional medical coverage such as global coverage.
- » The health insurance of the other family members of the employee to be prepared after the completion of the residency visa formalities.
- » Where the employee medical insurance company imposes an extra policy premium, in cases where the employee has exceeded 65 years of age or any other reason, the latter shall pay the difference.
- » Where the University medical insurance company imposes an extra policy premium, in cases where the employee has its spouse or any children with special need or suffering from critical disease or any other specific reason, the latter shall pay the difference.
- » The Medical insurance policy table of benefits, Medical insurance company policy provider and TPA can be changed at any time during the policy or at the expiry date of the policy.

- » Where a spouse is working elsewhere within the UAE, a non-duplication form duly filled and signed by the spouse's employer covering Health Insurance benefits is to be provided to the HRD.

5.11 Education

Faculty members are eligible for an educational allowance as stipulated in their contracts, subject to;

1. Children under employee sponsorship.
2. From (KG1) to (G12) but not exceeding 18 years old
3. Home teaching of dependents shall not be a part of this contribution.
4. Registration and fees payment valid invoices submission to HRD.
5. Where a spouse is working elsewhere within the UAE, a non-duplication form duly filled and signed by the spouse's employer covering Health Insurance benefits is to be provided to the HRD.

5.12 Death Indemnification

In case of employee death during active service with the University, results from work related injury or occupational disease, the family of the employee shall be entitled for compensation as per the UAE Labor Law.

5.13 Disability Indemnification

In the event of total or partial disability resulting from work associated injuries, the employee is entitled to damages and indemnity as per the UAE Labor Law after and according to the insurance company investigation.



6. LEAVE OF ABSENCE

Faculty members' availability and their constant involvement in the University educational programs is deemed essential. Except from annual, sick, and maternity leave, the approval or rejection of requested leave, is subject to the Deans and the Provost's decision. Absence may reduce a faculty member's effectiveness and disturb instructional programs. Therefore, leave policy is intended to impose restrictions on leave. In dealing with leave requests, Colleges should prioritize maternity leave, childcare leave, family and medical leave. The Deans and the Provost reserve the right to decline requests for leave without salary if such absences interfere with the College obligations.

Faculty members do not accrue their annual leave or sick leave for the next academic year. While scheduling the off days, vacation and other periods of personal time off, one's academic responsibilities are taken into consideration. The Dean should have knowledge in advance of any absence of a faculty member on active duty that may affect class, laboratory, or other commitments.

6.1 Annual Leave

- » The faculty members shall be entitled to a fully accrued eight calendar weeks of paid annual leave, based upon the directives of the Ministry of Education, UAE and the stipulations of the faculty contractual agreement. In addition to this eight-week period, faculty members are eligible for all national and official holidays declared by the UAE government.

- » Teaching faculty will be required to take leave during summer and regular semesters breaks. Teaching faculty who do not take leave must have work plans approved by their Department Heads or Deans and the Provost.
- » Annual leave requests need to be put in as far in advance as possible.

Applying for Leave:

- a. A Leave request should be submitted through the University Information System (UIS) for any kind of leave an employee wishes to request for.
- b. The UIS will automatically indicate the required resumption date based on the entered leave starting and ending dates.
- c. Faculty resuming their work after availing any type of leave, except sick leave, should complete 5 to 8 calendar days of work, based on their individual schedule, to start availing their regular scheduled off days.

6.2 Sick Leave

A faculty member who cannot come to work due to sickness must inform his/her Dean. As per the UAE Labor Law, once his/her probationary period is over a faculty member is entitled to fully paid sick leave for the first 15 days and then half pay for the next 30 days. Sick leave cannot be accrued from year to year. Any further sick leave request will handle separately.

A faculty member is required to submit a medical leave certificate attested by the government medical authority regardless of the duration of leave. The failure to produce such a certificate may result in the leave



remaining unapproved, with financial implications for the faculty member. If an employee fails to give notice of absence due to sickness it will be considered as “unauthorized leave” which may lead to disciplinary action.

6.3 Maternity Leave

All full time female employees are entitled to maternity leave for a period of forty-five calendar days with full pay as per the UAE labor law.

The faculty member shall inform her immediate supervisor in writing about her pregnancy as soon as she is aware of her condition. In case the female faculty member is unmarried and becomes pregnant her contract with AUE shall become null and void.

6.6 Educational Leave

- » After completing two years of service, a faculty member is entitled to approved leave without pay for furthering his/her higher education citing appropriate reasons
- » Such leave must receive the approval of his/her Dean, Provost and the Academic Council.

6.4 Religious Leave

Faculty Members are eligible, once during their employment, for special leave without pay to go for Hajj, which should not exceed 30 days. For non-Muslims faculty members, can apply for reasonable religious leaves for approval.

6.5 Leave without Pay

In emergency cases, after completing one year of service, a faculty member can apply for leave without pay for a valid reason up to one regular semester, the leave is not requested/availed during the teaching assignment allocated. A request should be submitted to the supervisor and the Provost. The approval of such leave shall be approved by the Academic Council.



7. RESEARCH

The Office of Research and Advancement has a strong commitment to encourage the academic and applied research based on effective Strategic Goals to leverage research performance indicators in accordance with national and international benchmarking criteria. The Office of Research and Advancement articulates the Strategic orientations and procedures in dedicated *research manual*, below are the research outlines for expectations, responsibilities and relevant policies.

7.1 Research Expectations

The University has a firm belief that academic research and professional development contribute to the overall enhancement, effective improvement, problem resolution, raising the standards of activities and services of the AUE, the UAE, and the region at large.

- » AUE encourages research led teaching and highly encourages faculty members to engage in research, professional development, community service, and creative projects, monitored by the related College/University committees.
- » To encourage the faculty members to pursue scholarly activities a course release policy shall imply to all faculty members.

This policy has been put in place to encourage scholarly activity where a faculty member can request their Chair/Program Director/Dean for a course release in order to concentrate their efforts on scholarly activities, especially grant-supported significant research, where an exceptionally large piece of scholarly work requires a reduction in teaching workload to accomplish the activity, to permit them to devote sufficient time to funded scholarly activities.

- » AUE promotes academic and intellectual ethos within the University, it provides research orientation and training programs as applicable and needed, and offers funds for attending local and international conferences, workshops, publications, and for organizing conference, subject to the approved policies and procedures detailed in the Research Manual.
- » The Vice President for Research and Advancement has the primary responsibility for the administration and monitoring of research and scholarly activities.
- » Each faculty member is expected to thoroughly read the publications of the Office of Research and Advancement, pertaining to research and scholarly activities.

7.2 Research Responsibilities

Faculty members are granted access to University resources that assist research. They shall enjoy the right to academic freedom in the conduct and support of research as stated in the above Section and in the Research Manual.

- » Faculty members have the right to disclose their research outcome with no elimination or amendment from internal or external parties.



- » Faculty members may conduct external consulting activities subject to the approval of the Dean, Provost and the Vice President for Research and Advancement.
- » Faculty members should acknowledge and assume their responsibilities towards the community, including AUE and its staff, students, and other stakeholders and contribute to the mission of the university and the national agenda by engaging in relevant research work.
- » When participating in the Academic Council as members, faculty members have the right as well as the responsibility to take part in informed, reasoned discussions and votes, based upon AUE's policies and procedures that lead to well informed and thoughtful decisions concerning academic matters.

7.3 Responsible Conduct of Research

As AUE strive to ensure the robust standard that must abide by all faculty members, students, professional staffs and academic visitors in performing research activities. Thus, AUE adhere to the international code of responsible research conduct to improve and enhance the research quality and maintain the honesty and integrity of research with emphasis on the following;

1. All faculty members, students, academic visitors must imperatively abide by the international code of the responsible conduct of research while carrying out research activities to;
 - 1.1 Ensure that implying the practice of all aspects of the moral and integrity of doing research,
 - 1.2 Avoid any intentionally an unintentional falsification
 - 1.3 Comply with the AUE policy on plagiarism and research misconduct,
 - 1.4 Perform the research in responsible, honest, and impartial manner
2. Any collaborative research project between the AUE with a government and private organizations and local or international academic institutions should be conducted by following the responsible conduct of research
3. Interested Researchers must adhere to the responsible conduct of research in drafting research proposal while applying for research funding or sponsorship.
4. Graduate students must follow the guidelines for the responsible conduct of research in preparing the research proposal and writing up the dissertation.
5. A verified an unintentional error due to misinterpretation, misjudgment, and discrepancies shall not consider by the AUE as misconduct.
6. AUE shall seriously investigate any reported breach of responsible conduct of research in research activities by faculty members, students professional staff and academic visitors
7. The Vice-President of research and advancement shall form a qualified committee to probe in the event of an incident imply any breaching of the related policies on responsible conduct of research.
8. Research teams and students should collect and manage the data during research activities following the responsible conduct of research and safeguard the confidentiality and protection of participants information and respondents



9. Faculty members, students, and all involved parties should comply with The AUE appropriate policy on the protection of Intellectual Property and copyright.
10. Although AUE does not have any biomedical or animal research facilities, however, if research involving human subject or animal may occur, the researchers must comply with effective current federal regulations and policies in the UAE. Before starting any research project relevant to health topics research team must obtain the approval from concerning health research authority in the UAE to conduct the research project.

7.4 Awards

The University acknowledges faculty members' efforts to achieve excellence and recognizes outstanding achievements on a variety of criteria. Although the requirements for such eligibility may vary across AUE, faculty should have at least one year of service as full time member. The University hold annual awards to celebrate significant faculty contributions, subject to the impact factor of their work on the mission of their College and AUE.

7.5 Intellectual Property

The basic definition of Intellectual Property (IP) refers to the mind creation, such as invention, innovation, publications and artistic works, and industrial design and images used in commercial application. There are many laws that protect IP such as Patent, Copyright and trademark, and industrial design. AUE faculty members engaged in research and other scholarly projects should take a serious note of IP policy.

- a. All rights subsisting in the intellectual work executed by the faculty member at the request of the University in the course of his/her employment with AUE shall be considered as an asset for the University. This includes, but is not limited to, all academic and administrative documents, manuals, academic programs, training programs; software developed/modified etc.
- b. The faculty member shall not be authorized to sell, lend and/or share such documents to any external party during or after his/her tenure with AUE. The University shall lawfully restrain the faculty member from infringing the copyright subsisting in them.
- c. As per this policy, the Intellectual Property that has been acquired during regular faculty office hours, as documented by his/her official schedule, using University facilities, any patentable work by the author/creator should be conveyed to the Office of Research and Advancement for consideration. In such cases the ownership rights shall reside with the University.
- d. The Office of Research and Advancement will consider case by case the Intellectual property ownership of tangible research outcomes that result from University or external funded research project according to the AUE policies.
- e. If the University doesn't intend to proceed with its Intellectual Property, whether through seeking patent protection, trade mark and industrial design and copyright or otherwise, the



Office of Research and Advancement will notify the owner/author, who is then free to proceed with it as he/she wishes accordingly.

7.6 Copyright and Plagiarism

The University makes it imperative to abide by all regulations governing copyright. Dedicated to the dissemination of knowledge, the University supports academic staff, librarians, administrative staff and students who demonstrate accountable and honest use of rights. This Copyright Policy applies to all AUE academic and administrative staff, students, and other AUE designated consultants or contractors for commissioned work in compliance with International Copyright Policies.

- a. Distributing, publicly displaying, reproducing, performing, transmitting, or preparing derivative works based upon a copyrighted work without the copyright owner permission is an act of violation of the AUE Copyright Policy and International Copyright law.
- b. All AUE staff including academic and administrative staff may print, reproduce and use information and retrieve files only from those documents where AUE expressly grants permission or license to use if:
 - i. It is for non-commercial, personal or educational purposes only.
 - ii. There is no modification of any information or image.
 - iii. It is to include any copyright notice originally provided in the materials.
- c. The Office takes the issue of plagiarism with utmost seriousness and considers citing the work of others without due acknowledgement as a breach of academic integrity.
- d. Any plagiarism or falsifying of information observed shall lead to legal action and/or expulsion.

7.7 Professional Development

The University is committed to provide professional development opportunities and training programs to enrich faculty members' career path by enhancing their teaching and research capabilities in their field of expertise.

7.7.1 Participation in Conference Workshop/Seminar/Training

1. Participation in academic activities both nationally and internationally in various forms are highly encouraged at the University.
2. Approval of requests for such participations is also subject to no interference with teaching and other obligations as applicable.
3. Faculty members interested to attend scientific international conference to present a paper or as a keynote speaker, or attending professional workshop that relevant to the discipline, pedagogical or any academic administrative training.
4. Eligible faculty members should complete the Application Form to ensure providing all requested information in the form and avoid skipping any question unless justified otherwise.



5. The Application Form should be submitted to the relevant Dean for approval before submitting to the authorized supervisor (s), Provost and VPRA for approval and signature.
6. The Application Form should be submitted eight (8) weeks prior to the date of the event.
7. All full-time faculty members may apply for funds after completing four months at the University. The Office of VPRA shall review and assess the eligibility for funds based on conformity to the faculty member's area of expertise and the impact of his/her contribution to the College and University Mission.
8. University provides budgets for faculty participation in regional and international scientific Conferences, Seminars and Workshops in which faculty members present their scholarly research, participate in deliberations or chair meetings, within the available budget allocations.
9. The total financial support to cover expenses associated with faculty travel, conference registration and accommodation should not exceed the amount specified in the approved budget and may vary depending on the venue location and the research event.
10. The concerned College should approve the application and budget for professional development event prior to submission to the Office of Research and Advancement for approval.
11. All faculty members who receive financial support for business leave to attend a Conference, Symposium, Forum, Workshop and Seminar should disseminate and share the experience and knowledge with the College and the University, upon its conclusion.
12. The below documentation should be submitted to the Office of Research and Advancement via the Dean, the next week following the event:
 - a. A summary report on the attended event (maximum two pages)
 - b. Provide participation evidence (e.g. copy of participation certificate)
 - c. Participating faculty members shall organize a Seminar to disseminate the knowledge in cooperation with the College and the Office of Research and Advancement, if applicable.

7.7.2 Funding Conference Workshop/Seminar/Training

Application for funding participation covers the financial support for attending off-campus Conference, Training, Workshop and Seminar.

1. The Application for Funding should be submitted to the Office of Research and Advancement after the Dean's approval relevant to all invitations for Seminars, Conferences, Training programs, Symposia, and Workshops received by the Department, the College or by the faculty members.
2. The assessment of application is based on the intellectual contribution impact of faculty members at Seminars, Conferences, Trainings, Symposia, and Workshops. The participant faculty members' intellectual contribution includes the following:



- a. Materials and collected data should add value to the faculty member's skills and expertise on the subject matter.
 - b. The attended event (Seminar, Workshop or Training) program should add an extensive knowledge and skills to the concerned College.
 - c. Colleges can nominate a faculty member or members to take part in an event after having fulfilled the above requirement in (a & b) to the Office of Research and Advancement for approval.
 - d. For faculty members who are interested to participate in an event with no financial support from the University, their leave will be considered as an official business leave if they are endorsed by their respective College Dean and the Vice President for Research and Advancement (VPRA).
 - e. A sponsored faculty member will still require the endorsement of the respective College and approval by the VPRA Office, so that his/her participation in the Conference, Seminar, Workshop or Training activity becomes an official function.
 - f. Reimbursement University Policy shall apply in the event of requesting expenses.
 - g. The faculty members should complete the standard Leave Form at least eight (8) weeks prior to the Conference, Seminar and Workshop or Training activity under reference.
 - h. If some classes will be unavoidably affected, guidelines on substitution and make-up classes will apply.
3. The University may require, or the faculty member may request to participate in a training program for professional development as appropriate. In such cases where the faculty participation in the training and/or professional development programs is funded by the University, an agreement will be reached between the University and the faculty member on the conditions that the faculty member will undertake to continue serving/ working for the University for a minimum of two years after completion of the training/professional development program.

7.8 Internal Research Funding

The internal research funding provides the opportunity for the faculty members to apply for competitive research grants in the core academic topics. The research funding shall provide a good platform for internal and external research collaboration and increase the publications productivity in well-known Journal. The relevant information about the research grant is described in the following sections. The Office of Research and Advancement shall annually announce a cycle for competitive Internal Research Grant programs with deadlines for faculty members called AUE Research Grant.



8. PROMOTION

The promotion from one academic rank to a higher rank is consequent upon merit and to the criteria established for promotion. Faculty are eligible for the salary and benefits of the new position in accordance with the established salary structure upon receiving the letter for promotion. However, the change in academic rank is effective from the date of the duly approved and completed application for promotion received by the Office of Research and Advancement (ORA). The promotion process shall take minimum three months upon receiving the completed application and suggested contact details of the reviewers (minimum 7 and 10 for the Assistant Professor and Associate Professor respectively) to complete the review process, however cannot ensure the same considering the unintended delays in response time from the external reviewers. The Office of Research and Advancement keeps the process strictly confidential and shall consider ingratiation as unethical practice.

8.1 Promotion Criteria

- » Teaching Effectiveness
- » Research and Other Scholarly Activities
- » Service to the University, Community and Profession

8.2 Applicant Eligibility

- » One academic year of residency at the American University in the Emirates.
- » Applicants should have Ph.D. or its equivalent as terminal degree.
- » Publications before Ph.D. or its equivalent as terminal degree shall not be considered for promotion.

- » Successful teaching, research and service experience at licensed, validated or accredited universities, as defined for the senior academic rank.
- » Applicant must have held the rank of Assistant Professor for a minimum of 4 years, for applying for the rank of Associate Professor and must have held the rank of Associate Professor for a minimum of 5 years for applying for the rank of Full Professor, including the required tenure at AUE.
- » In the case of an extraordinary record of teaching, research and service, an application for promotion may be considered after three and four years for Assistant Professor and Associate Professors respectively.

8.3 Instructor to Senior Instructor Application Eligibility

- » Completion of four years in the rank of Instructor with documented evidence of ongoing and recognized professional achievement.
- » Have an active record of professional accomplishment of a minimum of three published* creative works, and/or scholarship activities.

8.4 Assistant to Associate Professor Application Eligibility

- » Applicants are expected to have minimum high quality scholarly five (5) peer reviewed articles published in refereed, academic journals.



- » One paper out of five published in peer-reviewed international conference proceedings may substitute for the journal articles under reference.
- » The publications only in a highly regarded and reputable international journal, as determined by the relevant Department or Program and approved by ORA and/or specified in the research manual shall be accepted.
- » The applicant should be the first author of at least two of the submitted publications and has to be the sole author of at least two publications with high impact factor.
- » Books/book chapters will only be considered if peer reviewed.
- » A maximum of one unpublished paper may be considered if it documented as “Accepted for Publication”.
- » Submitted works for promotion application must be distributed over a minimum of three years.
- » At least 75% of submitted works should be published in English, except for those teaching in Arabic.
- » Other scholarly activities and services will be further taken into account for evaluation purposes.

8.5 Assistant to Associate Professor based on Creative Scholarship

- » Completion of four years in the rank of Assistant Professor with documented evidence of ongoing and recognized professional achievement.
- » Have an active record of professional accomplishment of a minimum of five published* creative works and/or scholarship activities.

8.6 Associate to Full Professor Application Eligibility

- » Applicants are expected to have minimum (08) Eight high quality scholarly five peer reviewed articles published in refereed, academic journals.
- » Up to (2) two papers out of eight (08) published in peer-reviewed international conference proceedings may substitute for the journal articles under reference.
- » The applicant should be the first author of at least four (4) of the submitted publications and has to be the sole author of at least two (2) publications with high impact factor.
- » The publications only in a highly regarded and reputable international journal, as determined by the relevant Department or Program and/or specified in the research manual shall be accepted.
- » Books/book chapters will only be considered if peer reviewed.
- » Textbooks are not to be considered for evaluation.
- » A maximum of one unpublished paper may be considered if documented as “Accepted for Publication”.
- » Submitted works for promotion application must be distributed over five (5) to eight (8) years.
- » At least 75% of submitted works should be published in English, except for those teaching in Arabic.

Other scholarly activities and services will be further taken into account for evaluation purposes.



8.7 Associate to Full Professor based on Creative Scholarship

- » Completion of four years in the rank of Associate Professor with documented evidence of ongoing and recognized professional achievement.
- » Have an active record of professional accomplishment of a minimum of seven published* creative works and/or scholarship activities.

9. PERFORMANCE EVALUATION

The University attracts and retains faculty members to support achieving its mission through and rewards achievements. The University performs annual faculty evaluation; the 360° evaluation, in effect analyzes faculty's performance from all perspectives including the self-evaluation, supervisor, students and their peers' evaluation. —The 360° evaluation provides accurate, best possible analysis of individuals and their performance within the university.

A detailed document describing the process and timelines of evaluation, please see the *Performance Evaluation Manual for faculty*.

A faculty member receives comprehensive evaluations at the end of the academic year. The purpose of faculty member 'evaluation is to identify the weak points, if any, improve performance on a continuing basis, and identifies areas of required progress. Evaluation may also provide a basis for more effective merit allocation, salary increments, reward, and continuation of employment.

The weightages for the evaluation process for promotion is as following:

Role	Weights
Teaching Effectiveness	30%
Research, Creative and Scholarly Activity	50%
Service to the University, Community and Profession	20%



10. FACULTY RESPONSIBILITIES, AND RIGHTS

10.1 Faculty Responsibilities

10.1.1 General Responsibilities

The successful achievement of University mission, goals, and objectives critically relies on an environment of intellectual freedom that provides access to receive information and expressions of ideas without restriction unless not in accordance with UAE law.

It is imperative for faculty members to accept responsibility to support students, faculty members, colleagues, and their community.

A faculty member is responsible for the entire course, its delivery, and its success. His/her responsibility consists of designing and developing the course, leading class meetings, evaluating student assignments, conducting examinations, as well as maintaining office hours where students can discuss issues and questions related to the course.

Ethical and professional standards play a significant role in guiding faculty members and enhancing their effectiveness.

Faculty members are encouraged to seek positive co-operation with the community, in the form of joining professional forums, joint partnerships or exchange programs with other institutions.

10.1.2 Responsibilities to Students

Faculty members are responsible for implementing a climate conducive to student concentration and passion for learning within their classrooms/laboratories. They should demonstrate high scholarly standards and respect and encourage students in the pursuit of their own educational goals.

Faculty members' interactions with students should be steered by the principles of academic integrity. They are expected to

attribute ideas, proposals, and information from their legitimate sources, and cooperation on a project where colleagues and/or students are involved should be clearly stated.

Faculty members must explain the objectives of the course or program, as well as the evaluation standards and the requisites for success, and assess the performance of their students in a fair and transparent manner.

Faculty members should comply with the schedule of classes, and arrange for alternately scheduled instruction, if and when circumstances do not permit this, so as to ensure that students receive the intended contact hours.

Faculty members should teach courses in accordance with the course description published in the Catalog. .

Faculty members should present the course material within an appropriate context. Challenge is not only fundamental for good teaching but is most beneficial when students are properly predisposed to deal with course materials. .

Faculty members owe to the students and AUE an unbiased assessment of the students' assignments, which should comply with best practice standards and take no account of irrelevancies such as: religion, race, sex, political views, or result from sharing the same opinion on contestable matters within the discipline.



Students have the same rights to intellectual freedom as faculty members. To acknowledge this right, faculty members should avoid any form of constraints on the student's reasoned consideration of a different opinion.

Faculty members should support the student's freedom to learn and avoid any antithetical action. The classroom environment should be open to the discussion of all relevant course issues keeping in mind the culture so that students can critically examine class materials and complete course requirements.

Faculty members have obligations to act as intellectual guides and counselors to students. This includes the responsibility to assist students in the course of individual meetings. Accuracy is a core criterion of the information provided to students.

Faculty members should demonstrate all the respect due to students, and always protect the confidentiality expected within the faculty-student relationship at AUE.

Faculty members should present a course syllabus, on the first day of class, to help students make an informed selection of courses in which to enroll.

This course syllabus shall contain the following information:

- i. Course designation and number, credit hours, pre-requisites and co-requisites
- ii. Instructor's name, office, office hours, email and telephone number
- iii. Brief course description
- iv. Course objectives and learning outcomes
- v. Course contents and topics schedule
- vi. List of readings and or other anticipated course materials

- vii. Teaching and learning methods
- viii. Expectations for attendance, assignments, and examinations
- ix. Student evaluation criteria, including the relative weights of various assessment methods
- x. Dates and times of any examinations scheduled outside of class time
- xi. Grading procedures
- xii. Resources for obtaining additional help, such as tutors or teaching assistants
- xiii. Each faculty member is required to understand the spirit of credit system and allocate two extra hours for each hour specified for the course.

10.1.3 Responsibilities for Scholarship

Faculty members should maintain themselves at the cutting edges of their disciplines by means of research and use their research to enhance their teaching as much as possible, while also seeking to develop new professional skills and certifications.

Faculty members have the responsibility of being honest in conducting their duties. They must avoid intentional falsification or misinterpretation of facts in all scholarly activities and must be vigilant to common errors.

10.1.4 Responsibilities to Colleagues

A faculty member, as a colleague, should honor his responsibilities as a member of the AUE Community of Scholars. He/she should respect and protect the free inquiry of peers, avoiding interference with their work. He/she should adopt the most appropriate style of constructive criticism while considering others' opinions, recognizing their contributions, and remaining objective in



evaluating the professional performance of others as and when needed.

10.1.5 Responsibilities to the University

A Faculty member's private actions and personal statements represent him/her and not the University.

Faculty members should never take advantage of their academic rank or position within AUE to serve private purposes.

Faculty members must not use AUE facilities, equipment, supplies, and other properties for personal or private business use.

Faculty members should ensure that AUE policies and regulations are aimed to achieving University goals and comply with the principles of academic freedom.

Faculty members should ensure that their participation in AUE is effective and conducive to achieving the mission, goals, and objectives of the institution.

Faculty members should be willing to share in the responsibility for the efficiency, effectiveness and success of the University's daily operations.

10.1.6 Responsibilities to the Community

One of the main objectives of AUE is to play a major role in the community and faculty members are expected to lead the way. Faculty members are highly encouraged to serve and help the community voluntarily as a responsible member of academic fraternity.

10.1.7 Other Responsibilities

Regular teaching practices, as well as Ministry of Education standards require that faculty members provide "reasonable

accommodations" for students with physical disabilities or learning disabilities. The Deans, in conjunction with appropriate Offices and the concerned faculty member, are responsible for certifying students' disability and work to determine reasonable accommodations needed for individual students.

10.2 Academic freedom

The University is inspired by the principle of Academic Freedom and takes it with utmost sincerity while the faculty has his/her own right in research and publications, however their recognition of scholarly activities depends on the impact on the institutional mission and on appropriate understanding of University authorities.

The faculty members are entitled for full freedom in utilizing teaching pedagogy, improvising curriculum and course material, plan assessments and related practical aspects, subject to meeting the learning outcomes as specified in the syllabus utilized as a contract between students and faculty member. Henceforth abiding by the improvements to syllabi, delivery methods and deliver the expected learning outcomes do not breach the academic freedom of the faculty members.

Faculty are free to inculcate creative thinking, debate and expression of ideas in the class however should avoid any controversial issues in the class

Faculty members are entitled for freedom to participate in the shared governance of the University through committees and councils.



10.3 Professional Ethics Statement

10.3.1 Loyalty and Honesty

Faculty members should abstain from engaging in any activity, concern or relationships which may/appear to generate a conflict with the interests of AUE. Academic dishonesty will be addressed severely at AUE and ignorance is not a defense.

10.3.2 Adherence to Applicable Laws

Faculty members are required to fully comply with AUE's policies and regulations, honestly expressing any related disagreement in a constructive manner, rather than passively or actively opposing such stated expectations.

10.3.3 Moral and Ethical Standards

In the conduct of business, faculty members should maintain and comply with sound moral and ethical standards. These include academic integrity including honesty, fairness and honest and responsible scholarship. This responsibility reminds the faculty members of their role as guardians of intellectual honesty, scholarly excellence and pedagogical soundness.

10.3.4 Relationship with Students

Faculty members should be fair, transparent and impartial in assessing students' work. They should not allow prejudices or discrimination against religion, race, gender or political views to occur. Faculty members should be committed to preserve students' right to learn, and protect faculty/student confidentiality, without ever taking unfair advantage of their privileged position. AUE policy prohibits faculty members from having

intimate liaison with the students they teach or those they supervise.

10.3.5 Relationship with Colleagues

Colleagues should be treated with esteem and respect. A faculty member should maintain pleasant presence and collaboration spirit among faculty members; and fulfill his or her responsibility to evaluate the accomplishments of colleagues sincerely and impartially.

10.4 Conflict of interest

The University encourages all forms of academic and non-academic collaboration that contributes achieving the University mission, the collaboration should not conflict with the University's interest and commitment.

University Faculty, Staff and members of the Board are expected to be involved in various types of academic and non-academic activities and assignments that contribute in achieving the university mission through teaching, research, consultation, service to the discipline, pro bono, information sharing, financial decisions and collaboration with the community. These activities and assignments should not deviate to any form of actual and potential conflict of interest.



The below statements includes, but is not limited to, actual and potential forms of conflict of interests:

- » A “conflict of interest” arises in situations where financial or other personal considerations affects any University faculty and staff’s professional judgment in exercising responsibility in their duties.
- » Induce, accept, or agree to accept any benefit or anything of economic value
- » for having exercised official powers or performed official duties in favor of another that would influence the vote, action, or any decisions.
- » Induce, accept, or agree to accept any gifts, personal benefits, or personal favors offered to them because of their positions within the University.
- » Induce, accept, or agree to accept employment in any business or professional activity that they might reasonably expect would require or induce them to disclose any University confidential information acquired by reason of their official position.
- » Disclose any personal interest that may influence actual of potential conflict of interest.



11. CODE OF CONDUCT AND DISCIPLINARY

11.1 Code of Conduct

Each faculty member is required to perform his/her duties in accordance with the laws, and regulations established by the University. His/her relationship with colleagues, students, and the internal and external Community should be exemplary, while reflecting well upon the values of the University and the United Arab Emirates. He/she should not engage in any activity that may harm the University or its employees. Should the Code of Conduct be contravened, the faculty member may be referred to the University's Disciplinary Committee.

Faculty members should enhance students' learning, by the fluid exchange of ideas between themselves and students, and inculcate in them appropriate scholarly standards. As an intellectual guide and advisor, each faculty member should treat all students with respect and fairness.

Each faculty member will encourage honest academic conduct, by evaluating students according to their real abilities and talent. He/she will never take advantage of students for private purposes and will recognize any significant contribution made by each student.

Each faculty member will be sure to preserve students' academic freedom. He/she should adopt an impartial attitude in supplying students with references. Information that is available to faculty members concerning students and their families should remain confidential, and such information may only be disclosed in the interest of the welfare of students and their families. Faculty members are required to respect class schedules as

established, keep office hours for student guidance, and facilitate students' access to course information. Any breach of this Code will result in the disciplinary actions detailed herein.

11.2 Unacceptable Conduct

Failure to fulfill teaching obligations including disregard to the right of access to instruction, and obvious intrusion of material irrelevant to the discipline.

Clear disregard for the rules related to teaching, class schedules, office hours and examination schedules.

Failure to comply with student evaluation criteria, or unreasonable delay in the assessment of student assignments for no valid reason.

Discrimination against a student due to his/her political background, race, religion, gender, ethnicity, health status, or any other subjective reason.

Taking advantage of his/her academic rank to influence students' perception or morality or cause harm to them for personal reasons.

Engaging in or supporting disorder, conflict or coercion within the classroom. .

Violation of students' confidentiality.

Disseminate destructive opinion, or personal criticism to students or other member of the University community; about other faculty member personal matters, teaching approach, or any destructive information that is irrelevant to the learning process that might harm the image of the academic units, the University or other institutions.



11.3 Disciplinary Committee

In case of any breach to the University code of conduct noted, the Provost Office and/or the concern dean notifies the faculty member about the breach information.

1. The Provost Office submits the case to the Disciplinary Committee with the issues pertaining to disciplinary issue, within the 2 working days.
2. All records shall remain confidential and the Disciplinary committee maintains collegiality spirit at all times, until the case is determined; the Academic Council may temporarily prevent the faculty member from performing his/her duties for a maximum of three months.
3. The decision of the Disciplinary Committee will be communicated to the Provost, who will announce it to the faculty member. The final decision will be communicated to the faculty member.
4. The disciplinary committee decision, would be either:
 - a. No breach found
 - b. Written Notice
 - c. Warning Letter
 - d. Written Warning with a one month suspension of annual compensation.
 - e. Written Warning with partial or total salary suspension for up to six months.
 - f. Contract termination, as per the UAE labor

5. In case of breach found, the disciplinary committee decision is documented in the faculty member record.
6. The decision of the Disciplinary Committee shall be communicated to the Provost, who will announce it to the faculty member.

11.4 Appeal

Faculty member may request to review the decision made by the disciplinary committee; the appeal Committee shall be nominated by the President.

1. The appointment of an Appeal Committee within a month after receipt of the disciplinary notification.
2. The Appeal Committee shall assemble within two weeks from the date of appeal.
3. The basis of the appeal will shall review the proper procedures and facts of the prior decision.
4. The Appeal Committee shall determine by majority vote whether the claims made are fully justified.
5. The decision of the Appeal Committee shall be conveyed to the president within two weeks from processing. The appeal decision shall be communicated to the faculty member.
6. A resignation will not cause cancellation of disciplinary action.
7. Any disciplinary action taken by University will not have any bearing on any criminal or civil records.



12. GRIEVANCE

The University is committed to provide a workplace where individuals feel free to express themselves and compete for quality with no concerns about obstruction, oppression, or abuse.

Grievance is defined as an objection or disagreement raised by a Faculty member about an event, circumstance, fact, decision, condition or issue.

12.1 Grievance Submission

Faculty members may submit official in writing grievances with regard to any part of their employment at AUE, including abiding by and adhering to the terms and conditions of employment, working provisions and measures, working atmosphere, working relations or with regards to disciplinary action taken against them.

Faculty members can also include official in writing grievances with regards to their end of probation period and annual performance appraisals in the event where a major disagreement occurs with the direct supervisor on the closing evaluation assessment.

12.2 Grievance Phases

Faculty members are requested to follow the following phases:

- a. As a first step, a written grievance addressed to the supervisor; the written grievance should be submitted through the official University email to the direct supervisor's official University email.
- b. The direct supervisor is required to take the compulsory and appropriate action with regards to the grievance within seven calendar days from the date of grievance receipt by written reply.
- c. All employees have the privilege to submit the relevant grievance to the next managerial level, following the Institution structure and chain of command, in the event where the direct supervisor disregard it or fails to settle it within 7 calendar days or the complainant has a valid grounds for not agreeing with the decision taken by the direct supervisor, or when the grievance itself is made against this direct supervisor.
- d. The next managerial level employee is required to find a solution and provide a resolution for the grievance within 7 Calendar days from the date of grievance receipt by written reply.
- e. Employees have the prerogative to submit the grievance to the Human Resources Department Head in the event where the next managerial level employee fails to find a solution and provide a resolution within 7 calendar days or the employee has a valid grounds for not agreeing with the decision taken by the next managerial level employee, or when the grievance itself is made against the next managerial level employee.
- f. In the event where there is no need to form a grievance committee, the Human Resources Department Head in coordination with the Vice Presidents is required to find a solution and provide a resolution for the submitted grievance within 7 calendar days in coordination with the internal legal affairs department, or the external advocate office, if required.



- g. In the event where forming a grievance committee is required, the Human Resources Department Head should form a grievance committee in cooperation with the internal legal affairs department, or the external advocate office to tackle each case separately.

The grievance committee shall be formed by a decision of HRD Head after consulting with the concern vice president based on the grievance request source, and chaired by the most senior member, which shall include a number of 2 or 4 members excluding the committee chair, The 4 members are composed by an HRD team member representative designated by the human resources department Head, and another two members to be appointed by the VPAFA, or the VPAA, or the VPRA, or the VPEMSS, based on the grievance request source. These members should be well and carefully chosen upon circumstances to avoid any biasing.

The grievance committee is required to settle the grievance within 10 calendar days from date of grievance committee establishment.

- a. In the event where the grievance committee fails to provide a resolution to settle the grievance within the above set period or in case that the grievance submitter is not persuaded with the announced final decision, he/she may heighten the grievance to the Institution President Office.
- b. The President Office may provide an instant resolution regarding the grievance and close it, or may appoint a second grievance committee to re-investigate it.
- c. The final resolution announcement by the President Office or the second grievance committee should be within 10 calendar

days. However, this resolution is definitive and irrevocable.

- d. Grievances related to the violation of the UAE public order or religious rites should be transferred to the Institution President Office directly.

12.3 Requirements

Grievances should be sensibly and prudently looked into before submitting them to any of the above listed recipients.

The University doesn't accept pseudo and groundless grievances. In this case, the Grievance submitter will be transferred to an investigation committee that will choose the appropriate action against him/her.

Grievances should be dealt with top discretion and confidentiality. Therefore, it should not be discussed with any other party other than the employees engaged in creating, controlling or handling the grievance process.

All chosen Grievance committee members should hold the same employment grades, or academic rank of the employees influenced by the grievance or upper, with the exception of the HRD team member representative designated by the Human Resources Department Head.

It is desirable that the institution President Office appoints a totally dissimilar second grievance committee chaired by the member who hold the highest position from job grade or academic rank perspective, in the event where:

- » The employee grievance submitter holds a Manager or Director level position or above, for professional administrative employees, and Dean or above for faculty members appointed in academic administrators positions. However, the



HRD team member representative designated by the Human Resources Department Head can be always a member in the committee.

- » One of the committee members has a reporting work rapport with the grievance submitter.

Administrative employees and faculty members, including academic administrators, whose employment has been discontinued due to poor job performance in accordance with the direct supervisor or an official evaluation committee decision will not be permitted to invoke the grievance process.

12.4 Appeal

Faculty member may request to review the decision made by the grievance committee; the appeal Committee shall be nominated by the Academic Council.

The appointment of an Appeal Committee within a month after receipt of the notification of the decision.

The Appeal Committee shall assemble within two weeks.

The committee shall review the procedures and facts of the prior decision.

The Appeal Committee shall determine by majority vote whether the claims made are fully justified.

The decision of the Appeal Committee shall be conveyed to the Academic Council within two weeks from processing. Once communicated by the Provost to the faculty member, through the concerned Dean, the decision stands final.

A resignation will not cause cancellation of disciplinary action.

Any disciplinary action taken by University will not have any bearing on any criminal or civil records.



13. UNIVERSITY POLICIES APPLICABLE TO FACULTY

13.1 Institutional Relations

University maintains current, pleasant and collaborative-spirit rapport with external stakeholder including governmental, employers, accreditation bodies, higher educational, supplier and community entities. Any communication with these entities shall be routed through the proper channels.

Communication Channels

- » President Office maintains the collaborative communications, initiatives, invitations and responses to inquires with United Arab Emirates government authorities, ministries and accreditation bodies, and financing entities.
- » Public Relation Office handles the routine transactions of licensure, permits, staff, students and guests' visas, civil defense audits, and other related transactions with the government entities.
- » International Office and Research Office handles the academic and research collaboration communications and initiatives with national and international academic and research institutions and academic ranking entities.
- » Office of Community Engagement and Outreach handles the communications of pro bono initiatives and projects for related entities.
- » Office of Alumni handles the communication of employers, potential employers, alumni, advancement initiatives and giving projects.
- » Office of Career Development and Internship handles the communication for employers, potential employers, internship related rapport.
- » Financial Affairs Department handles -as authorized, the communication with:
 - Banks for fund transfer, facilitate student payments and regular reconciliation.
 - Suppliers for payment terms, arrangement, payment and delivery.
 - Accounting units of sponsoring students' entities, for invoicing and fund transfer.
- » College Deans handle program-level accreditation communications, initiatives for executive educations, and communications with affiliated institutions for academic collaboration.
- » Faculty members involve of internship supervision handle the site communications with the Office of Career Development and Internship.
- » Department of Student Affairs handles the communication of sponsored students, students' activities related entities, embassies for student affairs communications.
- » Institutional Effectiveness Office provides institutional-wide data and information to accreditation bodies, embassies and academic ranking entities.
- » Institutional Effectiveness Office handles the communications with the national or international accreditation bodies.
- » The Admission and Registration department handles the response to



inquiries for admission and registration related communications.

- » Human Resource Department handles the communications with candidates, previous employers for evaluation, real estate agents, insurance companies, medical entities, legal entities, banks, embassies for employment confirmation. Further they communicate with organizations related to staff benefits and discounts.
- » The Continuous Education and Training Centre handle the communications regarding executive training and potential consultation projects.
- » Others Colleges and departments are able to communicate with listed/approved suppliers to facilitate work in progress.

13.2 Course-Release Policy

To encourage scholarly activity a faculty member can request their Chair/Program Director/Dean for a course release for a maximum of one academic year in order to concentrate their efforts on scholarly activities, especially grant-supported significant research, where an exceptionally large piece of scholarly work requires a reduction in teaching workload to accomplish the activity, to permit them to devote sufficient time to funded scholarly activities. The request shall be approved by the Research and Advancement Council after thorough review of the submitted proposal/request.

13.3 Examinations Policy

The University uses examinations as a form of formal assessment to evaluate student performance as well as to assess the knowledge, skills and competencies of the course learning outcomes.

The faculty members should avoid any personal and other commitments during the final exam weeks and should be readily available for facilitating the exams smoothly.

Rules Governing Final Examination

No faculty is authorized to hold final examinations outside the official scheduled period.

The Registrar will post the time of the final exams which will be on the fifteenth week of fall and spring semester. The summer exams schedule must be in relevant to the same semester.

During final examinations' period, students are not expected to take more than two final examinations on any calendar day. Where Academic Advisors determine that students will have more than two examinations in any one day, such cases will be brought to the attention of the Examination Committee, through the College Dean. An Eligibility Report to be generated by the IE Office to confirm these cases.

Examinations that are postponed because of conflict with other examinations, or because more than two examinations are scheduled on the same day, will be taken at another time during the final examination period if the faculty member and student can agree on a time.

Laboratory work and oral final examinations are allowed in the week preceding the period set for the final examinations, but all of AUE required final examinations must be given during the final week of the semester.

No faculty may change the time, date or location of a final exam without permission from the Registrar.

No faculty member may increase the time allowed for a final exam beyond the



scheduled two hours without permission from the respective Dean and Registrar.

Final grades issued on the grade sheets by faculty for each course should be approved by the Appropriate Dean, the VPAA/Provost and submitted to the Admission and Registration Department or entered on line within 48 hours of the exam in order to facilitate the preparation of grade reports. Only the Registrar is authorized to release grades to students.

13.4 Course File Policy

Institutional Effectiveness Office (IEO) maintains updated files for each course of instruction. These must contain sufficient information on each presentation of the course so that the faculty or other persons who assess program effectiveness can determine whether the course is meeting its learning outcomes, and whether changes to the course are appropriate, Course files must include the following information, which may be in electronic form.

1. syllabi for the current and previous offerings of the course;
2. copies of all 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. a comprehensive instructor review of the presentation of the course, covering:
 - a. appropriateness of the course learning outcomes;
 - b. extent to which the syllabus was covered;

- c. extent to which learning outcomes were met (with evidence);
- d. appropriateness of textbooks and other learning resources;
- e. appropriateness of assessment instruments in relation to learning outcomes;
- f. appropriateness of the balance of assessment;
- g. appropriateness of prerequisites;

- h. general comments on any problems encountered with the course
7. quantitative analysis of student performance during the course presentation (e.g., grade distributions);
8. 8. Summary of student feedback on the evaluation of the course

Faculty members must submit the coursework assessment within two-weeks from the last day of the course.

13.5 Curricula Approval and Revision Policy

Academic department conducts regular assessment to the academic programs which covers the curriculum, the learning outcomes, study plan, admission criteria, courses' delivery, and learning resources;

Procedures

Based on the nature of change; program improvement may result in changes to courses or update of learning resources, that do not significantly modify the program's goals or learning outcomes, or its basic structure. Some of these changes include:



Nature of non-Substantive Change

1. Changes to textbooks or other learning resources
2. Changes to prerequisites
3. Changes to course codes or titles, as long as the content of the course is accurately reflected;
4. Addition of new elective courses;
5. Changes to assessment procedures

Proposed non-substantive improvements should obtain the approvals from the proper committee/council before submitting to the Institutional Effectiveness Office (IEO), hence the IEO reviews the non-substantive change, validate the compliance of the improvement and implement it. The improvement should follow the format and include information requested in the template *Non-Substantive Improvement G5 form*.

Nature of Substantive Change

Academic improvement, may have an immediate effect on the scope, quality, integrity, or effectiveness of the institution or its programs. These are termed —*substantive changes*”. Any such substantive changes initiated after the most recent review for licensure or program accreditation must be reported to the Commission and reviewed for approval before they are made

1. Change the legal status or form of control of the institution, including a change in ownership or merger with another institution;
2. Significantly alter the mission, goals or objectives of an institution.
3. Establish instruction in a significantly different format (such as an intensive term or weekend classes) or method of delivery (such as e-learning);

4. Relocate the primary campus, or establish instruction at a branch or an additional location;
5. Close one of the institution’s locations;
6. 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);
7. Enter into a contractual relationship with another organization to provide instructional services;
8. Change the language of instruction for any program;
9. Change program admissions requirements from those approved by the Commission during the accreditation process;
10. Make major reductions in program offerings;
11. Increase or decrease the length and completion requirements of a program;
12. Introduce non-credit courses or activities that affect the mission or alter faculty workload.

Proposed substantive change should obtain the approvals from the proper council before submitting to the Institutional Effectiveness Office (IEO), hence the IEO reviews the substantive change, validate the compliance and support in reporting and communicating the substantive change. The improvement should follow the format and include information requested in the template Substantive Change G7 template *Substantive Improvement Template G7*.



13.6 Academic Advising Policy

The University assigns academic advisors to degree-seeking students based on their major; the academic advising enhances students' educational plans, career plans and to enrich their academic achievement.

13.7 Nepotism Policy

The University accepts referral from employees including recommendations of relatives. In the event of employment of a relative of an existing employee, the University takes the necessary measures to ensure that there is no conflict of interest.

13.8 Legal Policy

The University handles its legal affairs through its outsourced attorney entity. The authorized attorney office provides advice on labor and employment, intellectual property, contracts and any other legal matters. The authorized attorney office can represent the University in official entities. Further, The University makes all efforts to resolve any employment dispute with its faculty and professional staff. In case it is not resolved, the case is escalated to official authorities, hence, the authorized attorney office represents the University and handles the legal procedures.



APPENDIX A: COMMISSION OF ACADEMIC ACCREDITATION COMPLIANCE

4.1 The institution maintains a *Faculty Handbook* that covers the range of topics specified in *Stipulation 1C: Faculty Handbook*. The institution implements these policies and procedures and distributes the *Faculty Handbook* to all full-time and part-time (adjunct) faculty members.

Stipulation 1C:

The Commission requires institutions to develop and maintain a *Faculty Handbook* which must include the following:

Standard Interpretation	Link
An organization chart clearly showing the place of the faculty with respect to departments, schools colleges and the administration of the institution including the governing body (board);	2.4 Organizational Chart
A statement of faculty roles and responsibilities in the institution, including those in academic affairs, curriculum development and review, teaching, student support, academic advising, research and/or scholarship, management and administration, and governance;	3.3 Faculty Role
The definition of academic freedom as it applies to the institution and the faculty employed by the institution;	10.2 Academic Freedom
Statements of professional ethics for faculty	10.3 Professional Ethics Statement
Intellectual property guidelines	7.5 Intellectual Property
Workload policies	3.6 Faculty Workload
Expectations for office hours	4.2 Office Hours
Academic ranks and qualifications for those ranks	3.1 Faculty Appointment 3.2 Academic Ranks
Faculty orientation	3.5 Orientation of New Faculty
Probationary periods	4.1 Probationary Period and Appointment Length
Performance review systems and the effect of performance reviews on employment	9. Performance Evaluation
Supervision and organizational issues affecting faculty	3.4 Academic Administrators
professional development policies, and procedures and institutional support for professional development	7.7 Professional Development
leaves of absence including annual or vacation leave, maternity, sabbatical, training, emergency, Hajj, or sick leave	6. Leave of Absence
research expectations including administrative responsibilities for grants received	7.1 Research Expectations 7.2 Research Responsibility
regulations regarding consultancy or outside employment	4.5 External Employment



Standard Interpretation	Link
policy regarding provisions made in case of the faculty member’s death during the term of the contract;	5.13 Death Indemnification
provisions for promotion including application procedures, the contents of applications including portfolio requirements, if any, and review procedures;	8.1 Promotion Criteria
job descriptions for faculty members	10.1 Faculty Responsibility
Provisions indicating that the required qualifications for full and part-time faculty are identical	3.1 Faculty Appointment
compensation and benefits, including compensation (if any) associated with promotion;	5.4 Promotion Adjustment
regulations and/or conditions regarding summer employment	5.6 Summer Teaching
disciplinary procedures including grievances and appeals	12. Grievance
policies specifically affecting graduate assistants	3.9 Graduate Assistants
policies specific to part-time faculty, including those instances where qualified professional staff have teaching assignments, and any limits placed on those assignments	3.1 Faculty Appointment