



الجامعة
الأمريكية
في الإمارات
American
University
in the Emirates

FACULTY HANDBOOK

FACULTY HANDBOOK OF AMERICAN UNIVERSITY IN THE EMIRATES

2023 - 2024
EDITION

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1 Introduction

The Faculty Handbook is essential to the faculty members of the American University in the Emirates, as key stakeholders, for the dissemination and implementation of relevant policies, procedures, and guidelines that shall facilitate University operations.

The Faculty Handbook is circulated among faculty 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. All approved policies and procedures shall replace any earlier versions and be in effect as of the date of Board approval.

The American University in the Emirates reserve the right to update, amend or modify its policies and procedures implemented in the Faculty Handbook on a regular basis in accordance with what it deems appropriate and fulfilling its interests. The Vice President for Academic Affairs, and the Human Resource Department shall inform faculty members 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.

The Faculty handbook outlines the University policies, procedures and processes for managing the institution academic staff. Therefore, this manual does not supersede or override the employment contract.

The University makes reasonable efforts to ensure that the information provided in this handbook is accurate. However, if there are discrepancies between the Faculty Handbook and the Policies and Procedures, the latter takes precedence.

2 About American University in The Emirates

2.1 University History

The American University in the Emirates (AUE) originated in the Academic Year (AY) 2006-2007 as the “American College in the Emirates” (ACE). The College’s initial mission was to “offer quality, multidisciplinary, and career-oriented academic degree programs that prepare students for successful employment and continuing higher education.” As a self-financed institution, ACE awarded two-year associate degrees in media, information technology, business, and design. At this time, the United Arab Emirates and Dubai governments and business sectors accepted graduates with associate degrees for intermediate and entry-level employment.

The college labeled itself an “American College” since it offered associate degrees under a credit hour system and an American curriculum comprised of general education and free elective courses. In the 63-credit-hours associate degree programs, ACE focused on general education and the liberal arts during the first year of study and offered specialization courses with job training for the second year.

The initial intake in the 2006/07 year was comprised of 40 students—a blend of first-year students and working professionals. By the year’s end, 21 students had dropped out due to a lack of English language and mathematics competency. For a startup, self-financed institution, a greater than 50% dropout rate was a significant challenge. However, with the shareholders’ commitment and financial support, the founding Board of Trustees and the College President were inspired to continue with the project of establishing a new, top-quality academic institution that would prioritize academic rigor and education. The Board of Trustees added two new priorities to the initial strategic plan: 1) student success and retention; and 2) resource optimization. By the end of AY 2007/08, the college developed the slogan “Nothing is impossible” to inspire students to thrive and overcome all challenges in academic and professional endeavors, as well as to motivate the college’s faculty members and staff to work effectively and efficiently in the face of inevitable early obstacles.

During AY 2008/09, before ACE graduated its first cohort (i.e., the class of 2007), the global financial crisis affected most business firms in Dubai and the Gulf region in general. As a result, organizations downsized and retained only the most skilled and experienced staff. The College’s Board of Trustees observed the effects of the crisis on the United Arab Emirates’ markets and business firms and the college’s graduates. Consequently, to meet the new market dynamics, the board was determined to equip its graduates with more knowledge, skills, and competencies by offering full bachelor’s degree programs.

For a complete history of the University, please visit <https://aue.ae/brief-history-of-aue-2/>

2.2 University Vision

The American University in the Emirates (AUE) is dedicated to be one of the leading higher educational institutions locally and regionally, providing an integrated pathway for students to become creative, effective, and productive members of the community.

2.3 University Mission

The American University in the Emirates is a coeducational undergraduate and graduate degree-granting institution committed to preparing students as global citizens for future career aspirations and lifelong learning through quality teaching, research, and service opportunities.

2.4 University Goals

Goal 1: Enhance a Diverse and Inclusive Learning Environment while Enhancing Teaching and Curricula Quality through the Implementation of Innovative Programs that Meet Industry Demands and Foster Critical Thinking

Goal 2: Develop Future-Ready Graduates and foster students' career readiness and lifelong learning.

Goal 3: Empower and Encourage Research for Advancing Knowledge and Innovation.

Goal 4: Embrace an Innovation ecosystem that supports and nurtures entrepreneurship.

Goal 5: Cultivate a culture of Community Engagement and Collaboration for Social Impact.

Goal 6: Develop a Strong and Distinctive University Brand and establish Outreach Initiatives

Goal 7: Increase advancement efforts to secure additional resources.

Goal 8: Establish a Culture Committed to Sustainable Practices and Responsibility.

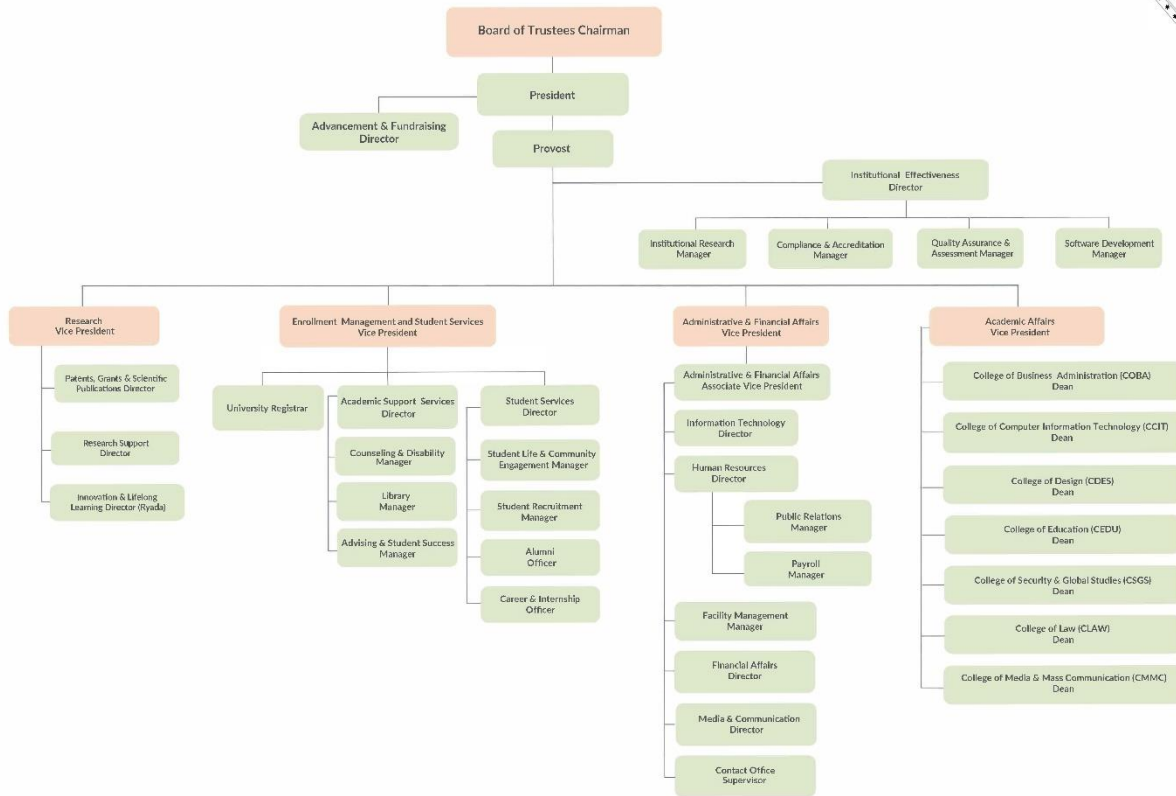
2.5 Core Values

- Improving the Quality of Life
- Respect and Dignity
- Equal Opportunities and Recognition
- Openness, Trust, and Integrity
- Innovation Creativity and Entrepreneurialism
- Stewardship
- Teamwork and Partnership
- Sustainability

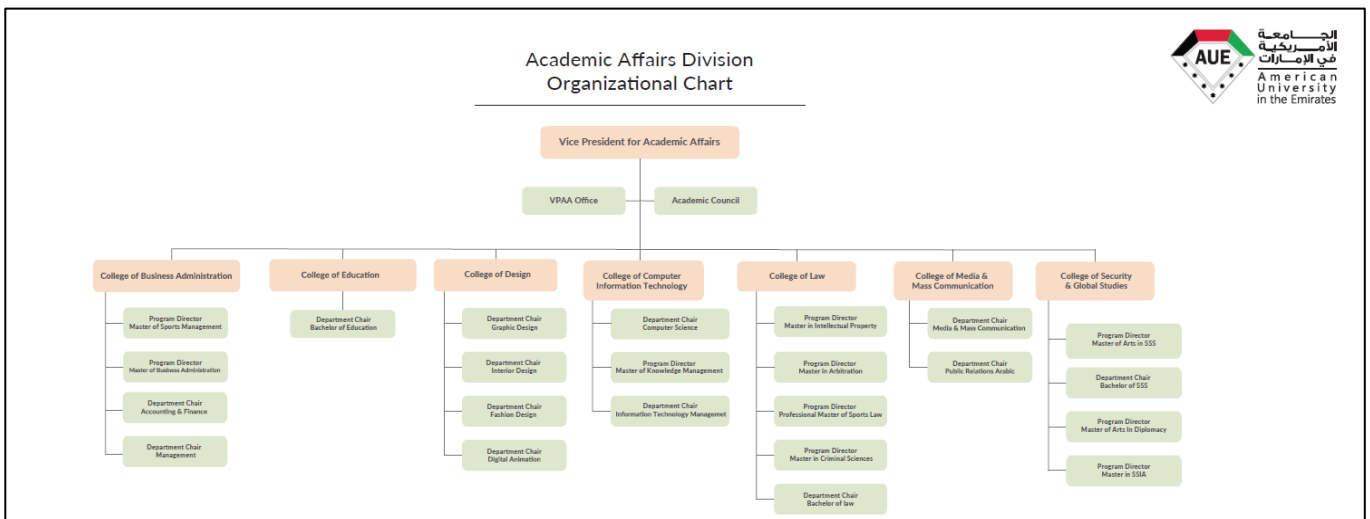
2.6 The Board of Trustees

Governing Board Member	Board Position	Affiliation
Major General Dr. Ahmed Nasser Al Raisi	Chair of the Board of Trustees	General Inspector of the Ministry of Interior, UAE
H.E Mirza Al-Sayegh	Deputy Chairman of the Board of Trustees	Director – Office of H.H Sheikh Hamden Bin Rashid Al Maktoum
Professor Muthanna G. Abdul Razzaq	Board Member <i>Ex Officio</i>	President of American University in the Emirates, UAE
Mr. Khalaf Al Qubaisi	Board Member <i>Ex Officio</i>	Chairman, Specialized Investment Group (SIG), UAE
Dr. Amin Al Amiri	Board Member	Asst. Undersecretary for Medical Practice and License Sector in UAE Ministry of Health, and the Chairman of the UAE Supreme National Blood Transfusion Committee
H.E. Jamal Bin Saif Al Jarwan	Board Member	Secretary-General of the UAE International Investors Council (UAEIIC)
Professor Matthew D. Shank	Board Member	President, Marymount University, USA
Professor Suzanne Trager Ortega	Board Member	President of the Council of Graduate Schools, USA
Professor Jean Keller	Board Member	Professor, University of North Texas, Department of Kinesiology and Public Health, USA
Mr. Abdullatif Al Mulla	Board Member	Group Chief Executive Officer, RMB, UAE
Mr. Frank Islam	Board Member	Chairman/ CEO, FI Investment Group (FIIG), USA
H.E. Major General Abdullah Al Hashmi	Board Member	Assistant Undersecretary for Support Services, UAE Ministry of Defence
Mr. Khalid Al Shamsi	Board Member	Managing Director and Chief Investment Officer of Dubai Group
Mr. Khalid Al Halyan	Board Member	Chief Audit Executive at Dubai Aviation City Corporation (DACC)

3 University Organizational Structure



Academic Affairs Division Organizational Chart



4 Academic And Administrative Officers

The American University in the Emirates defines its Academic and Administrative Officers as the senior leaders responsible for institutional-level decision making within the University's shared governance in the form of councils, which include the Provost, Vice Presidents, College Dean, and other key Administrative Department Directors. The AUE Organizational Chart, clearly identifies these positions which fall within the category of Academic and Administrative Officers.

Academic and Administrative Officers lead role in providing guidance and support to the academic and administrative units and liaise between the faculty members, staff, students, the Provost, and the President as appropriate. Academic and Administrative Vice President positions report to the Provost, College Deans and units' directors report to their respective Vice President.

4.1 President

As Chief Executive Officer, the President is responsible for providing strategic leadership for the university by working with the Board of Trustees and other management to establish long-term goals, strategies, plans, and policies.

4.2 Provost

Reporting to the President, the Provost plays a vital role to ensure that all aspects of the operations at AUE are efficient and effective. As such, the Provost is responsible for the strategic planning and its implementation, academic programs, research productivity, fiscal and physical operations, policy review and development, human resources' matters, and student services. In addition, the provost actively implements the quality assurance principles through benchmarking and accountability. The Provost oversees and provides leadership to the following senior officers:

1. Vice President of Academic Affairs
2. Vice President of Research
3. Vice President of Administrative and Financial Affairs
4. Vice President of Enrollment Management and Student Services
5. Institutional Effectiveness Director

4.3 Vice President for Academic Affairs

Reporting to the Provost, the Vice President for Academic Affairs (VPAA), as an Academic Officer is responsible for coordinating tasks between the academic body of the University, the faculty, management, and various university units, ensuring quality service, clarity in instruction, and the best utilization and harnessing of the talents of members of the academic body. As the chief administrative officer for AUE's academic sector, the Vice President for Academic Affairs supervises the University's educational programs. The VPAA ensures the supervision, development, and delivery of quality academic programs and instruction for the seven Colleges. The following are the College Deans who are responsible to provide clear leadership vision to the colleges by liaising with industries and government sectors in collaboration with faculty, senior leadership, and community stakeholders

1. Dean of College of Business Administration
2. Dean of College of Computer Information Technology
3. Dean of College of Design
4. Dean of College of Media and Mass Communication
5. Dean of College of Security and Global Studies

6. Dean of College of Education
7. Dean of College of Law

4.4 Vice President for Research

Reporting to the Provost, *The Vice President for Research (VPR)* supports developing, executing, and assessing the University's research strategies. The VPR oversees three units—the Patents, Grants, and Scientific Publications Office, the Research Support Office, and the Innovation and Lifelong Learning (Ryada) Office—to build a culture of research excellence. The VPR promotes faculty members' research capabilities and innovative teaching and strengthens the role of research within the academic programs by advancing student research. The VPR also leverages institutional research partnerships and collaboration with businesses and industries to broaden research awareness and expand institutional intellectual properties for commercialization. Among the VPR's responsibilities are preparing an institutional research budget in line with the University's research strategy, facilitating and advancing research infrastructure and activities, enriching the research environment, and ensuring that all required research policies and procedures are based on best practices.

4.5 Vice President for Administrative and Financial Affairs

Reporting to the Provost, The Vice President for Administration and Financial Affairs liaises between the University's administrative departments, the management, and various University units. The VPAFA reports directly to the Provost and provides strategic oversight and guidance to administrative support service units, including the Financial Affairs Department, Human Resources Department, Facility Management Department, Information Technology Department, Media and Communication Department, and Contact Office. The VPAFA ensures the alignment of the University's policies and procedures with accepted best practices to manage and monitor fiscal resources and provide strategic oversight for all reporting units. The following are the key senior leaders who oversees and manages the aforementioned departments:

- Human Resource Director
- Financial Affairs Director
- Information Technology Director
- Facility Management

4.6 Vice President for Enrollment and Student Services

Reporting to the Provost, the Vice President for Enrollment Management and Student Services (VPEMSS), provides all academic and student support programs, services, and related activities following best practices, accreditation criteria, and institutional Mission requirements. Furthermore, the VPEMSS provides essential direction and supervision to the Academic Support Services, Admission and Registration, and Student Support Services Departments and their offices. The following are the key senior leaders who oversees and manages the aforementioned departments:

1. Director of Academic Support Services
2. Director of Student Services
3. University Registrar

4.7 Institutional Effectiveness Director

Reporting to the Provost, The Institutional Effectiveness Director (IED), role is to collaborate with other units to streamline the University's efforts toward planned goals and objectives and allocate resources to achieve the University's Mission. The IE Director supports the University in making informed decisions by building on a foundation of empirical evidence, planned assessments, and data collection and analysis that lead to Mission-driven planning. The Institutional Effectiveness Director guides and supports planning, assessment, and accreditation and provides evenhanded recommendations in the following areas: strategic planning, operational planning, institutional governance, teaching and research, new programs and new priorities, faculty recruitment and retention, student enrollment, student success, and resource optimization. The Institutional Effectiveness Director manages four units: the Compliance and Accreditation Unit, Software Development Unit, Institutional Research Unit, and Quality Assurance and Assessment Unit.

5 Colleges and Programs

College	Program
College of Business Administration	Bachelor of Business Administration – Business Management
	Bachelor of Business Administration – Accounting
	Bachelor of Business Administration – Finance
	Bachelor of Business Administration – Insurance and Risk Management
	Bachelor of Business Administration – Hospital and Healthcare Management
	Bachelor of Business Administration – E-commerce and Marketing
	Bachelor of Business Administration – Human Resource Management
	Bachelor of Business Administration – Logistics and Supply Chain Management
	Master of Business Administration
	Master of Sports Management
	Master of Sports Management – Equine Management Concentration
College of Media and Mass Communication	Bachelor of Arts in Media and Mass Communication – International Relations
	Bachelor of Arts in Media and Mass Communication –Public Relations
	Bachelor of Arts in Media and Mass Communication –Radio and Television
	Bachelor of Arts in Media and Mass Communication – Integrated Marketing Communication
	Bachelor of Public Relations
College of Computer and Information Technology	Bachelor of Computer Science – Digital Forensics
	Bachelor of Computer Science – Network Security
	Bachelor of Science in Information Technology Management
	Master of Knowledge Management
College of Education	Bachelor of Education - Special Education
College of Design	Bachelor of Science in Design – Digital Animation
	Bachelor of Science in Design – Fashion Design
	Bachelor of Science in Design – Graphic Design
	Bachelor of Science in Design – Interior Design
College of Security and Global Studies	Bachelor of Arts in Security and Strategic Studies – Crisis Management Communication
	Bachelor of Arts in Security and Strategic Studies – Disaster Management
	Bachelor of Arts in Security and Strategic Studies – Emergency Management
	Bachelor of Arts in Security and Strategic Studies – Risk Management
	Master of Security Studies and Information Analysis
	Master of Arts in Diplomacy

College	Program
	Master of Arts in Security and Strategic Studies
College of Law	Bachelor of Law
	Master of Arbitration
	Master in Criminal Sciences
	Master in Intellectual Property
	Professional Master in Sports Law

6 Faculty Role

The Faculty Role policy applies to all Faculty members, with the exception of part-time faculty members whose roles and responsibilities are outlined in their job descriptions and contracts.

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

Faculty Supervision

Faculty Members report directly to the department chair or Program Director, and in the absence of department reports to the college dean. The Department Chair/Program director are responsible for the supervision and evaluation of faculty members under their departments/programs.

Teaching / Instructional Delivery

- Research and practice driven teaching is one of the key roles 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 in teaching.
- 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.
- Only research-active faculty members with documented evidence of being active researchers and a current record of research citations are eligible to teach in the Graduate programs.
- Faculty members are expected to adapt to the 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 the development of appropriate assessments.

Instructional Management

Faculty members are expected to manage the instructional processes and promote an environment that is conducive to learning. They are also expected to submit all reports necessary for the course, including course credentials, grades, and all components of course files, in a timely manner.

Assessment and Evaluation

Faculty members are expected to design all coursework (assessment) at or above QFE levels as designated for the courses they are teaching at the undergraduate or graduate level. They are also expected to evaluate students' performance and grading. They are required to ensure providing clear assessment criteria that reflects course content and its learning outcomes, setting expectations for students, and avoiding cognitive biasness.

Curriculum Development and Review

Faculty members are expected to contribute to regular curriculum review for improving the existing curriculum for quality and effectiveness.

Research and Scholarship:

All faculty members are expected to actively engage in scholarly activities and publish peer-reviewed articles in their area of specialization, thus contributing to the Mission of the University. They are expected to use their research to enhance their teaching while seeking to develop professional skills and certifications.

Professional Development:

All faculty members are expected to acquire the latest academic techniques, discipline and professional certification, technology related development, and leadership development through attending in-campus and out-campus workshops, seminars, and training.

Management / Administration:

Faculty members with administrative position are assigned to serve in the capacity of Coordinator, Chair, Director, or Dean to manage the academic programs and contribute to accreditation, recruitment, research administration, consultation, and service to the university, discipline, and to the community.

Shared Governance:

AUE promotes the culture of collective leadership and expects all the faculty to proactively participate in the meetings, committees, and other groups constituted for the shared decision-making. The elected faculty representatives in the council's meetings are expected to directly participate in the decision-making process involving assessments, curriculum, research, discipline, grievance, and promotions.

Academic Advising and Academic Success:

Faculty members are expected to provide academic advising and guidance to the students for curriculum planning, career planning, and to ensure meeting the program learning outcomes. Faculty members should demonstrate respect for the students and always protect the confidentiality expected within the faculty-student relationship at AUE.

7 Rights and Responsibilities

7.1 Students Rights & Responsibilities

The American University in the Emirates safeguards the rights of its students as they pursue knowledge, personal and professional growth as members of the University community in a manner that enables a safe and conducive learning environment for all. Fundamental to these rights is the guarantee of equal opportunity for all regardless of age, gender, nationality, race, religion, and physical ability. Furthermore, as members of the University community, students are also accountable for upholding their responsibilities in accordance with the laws and cultural values of the UAE and the provisions of the University policies and procedures. A comprehensive Student Rights and Responsibilities Policy is published in the Policy and Procedure Manual, Undergraduate Catalog, Graduate Catalog, and Student Handbook.

7.2 Faculty Rights and Responsibilities

General Responsibilities

The successful achievement of the University's 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 for supporting students, faculty members, colleagues, and the 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, and 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 cooperation with the community in the form of joining professional forums, joint partnerships, or exchange programs with other institutions.

- » 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 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 constraint 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 of assisting students in the course of individual meetings. Accuracy is a core criterion of the information provided to students.
- » Faculty members should demonstrate all 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 Scale.

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 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.

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.

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 ranks or positions 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 at 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.

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 responsible members of the academic fraternity.

Other Responsibilities

Regular teaching practices, as well as the 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' disabilities and work to determine reasonable accommodations needed for individual students.

7.3 Academic Integrity

The University expects all its students, faculty members and staff to adhere to and maintain high standards of academic honesty and integrity, as well as to respect the work and creativity of others in all of their work. All University stakeholders are expected to understand the definitions of cheating and plagiarism, and other offences defined in this policy, as well as the consequences of detection and the penalties that will be imposed.

Academic Integrity Principles

The University adopts (ICAI) academic integrity principles as the commitment to six fundamental values:

- 1) **Honesty:** As students and faculty members pursue knowledge, they must be truthful with one another and with themselves. In classrooms, laboratories, and libraries, fostering and practicing honesty provides the groundwork for a lifetime of integrity.
- 2) **Trust:** One of the most important aspects of academic work is the capacity to believe that someone is telling the truth. Members of the academic community must be able to believe that

neither student nor faculty work is fabricated and that everyone is held to the same standards. Students, faculty members, and researchers can openly collaborate, share information, and disseminate new ideas when they have confidence in one another. Faculty promote trust by setting clear guidelines for assignments and for evaluating student work in an equitable, timely, and forthright manner.

3) **Fairness:** Fairness is a crucial element in the formation of ethical communities. It encompasses predictability, transparency, and clear, reasonable expectations. Fairness reinforces the significance of truth, ideas, logic, and rationality, impartial treatment.

Faculty members are fair to students and to one another, and they presents an ideal example by clearly articulating expectations, constantly responding to dishonesty, and continuously maintaining academic integrity principles.

Students demonstrate fairness by completing their own original work, properly acknowledging borrowed work, following and enforcing academic integrity policies, and preserving the institution's excellent reputation.

4) **Respect:** Respect in academic communities is mutual and needs both self-respect and respect for others. Respect for oneself entails confronting obstacles without surrendering one's own principles. Respect for others is appreciating the variety of viewpoints and recognizing the need to challenge, test, and refine ideas.

Students demonstrate respect when they value and take advantage of opportunities to obtain new knowledge by taking an active role in their own education, contributing to class debates, attentively listening to various viewpoints, and performing to the best of their abilities.

Respect is demonstrated by faculty members taking students' ideas seriously, acknowledging them as unique individuals, assisting them in the development of their ideas, offering complete and honest comments on their work, and valuing their opinions and aims.

5) **Responsibility:** Integrity is both an individual commitment and a social responsibility. Every member of an academic community—each student, staff member, faculty member, and administrator—is responsible to themselves and each other for protecting the integrity of its study, teaching, and service.

Being responsible involves opposing misconduct, avoiding negative peer pressure, and setting a good example. Individuals who are accountable take responsibility for their own behavior and seek to discourage and avoid misconduct in others.

In addition to creating and enforcing classroom, responsible faculty members also effectively communicate the expectations accordance to these policies. They adhere to university policies and maintain their commitment.

6) **Courage:** Courage is the capacity to act in accordance with one's values despite fear. Students who demonstrate courage hold themselves and their peers to the highest standards of academic integrity, despite the possibility of negative consequences, such as a failing grade or reprisal from peers or others. Courage displays itself in faculty members' commitment to hold oneself, students, and other faculty accountable for upholding an environment of integrity as indicated by the five extra principles. Faculty are accountable for fostering a climate that promotes integrity.

Academic Integrity Violations

Violations of the Principles of Academic Integrity may include but not limited to:

1) **Cheating:** is defined as any actual or attempted act that is undertaken with the intention to gain unfair advantage on coursework, assessments, or examinations that include but not limited to

- a) The unauthorized possession and/or use of any electronic devices during in-class assessment and examinations such as mobiles, headsets, tablets, calculators, and smartwatches, and other devices.
- b) Sharing, soliciting information verbally, copying the work of another student, or intentionally allow another student to copy from one's own coursework, assessment, or examination paper.
- c) Submitting coursework for credit in more than one course without acknowledging that it has already been published or submitted and assessed in the same course, another course.
- d) Any violation of examination guidelines stipulated in the exam instruction sheet and examination hall.
- e) Impersonating another student's identity in class attendance, coursework submission, or examinations.

2) **Plagiarism:** is defined as misrepresenting someone else's ideas or work without acknowledging the original ownership and source. Plagiarism includes but is not limited to using parts or all of an idea, word, sentence, diagram, artwork without proper citation even if minor or major changes have been applied to the original work. The plagiarism may take many the following forms:

- a) Purchasing a complete or partial assignment from a person, repository, or organization.
- b) Acquiring answers or information from artificial intelligence tools.
- c) Sharing work and/or answers with other people.
- d) Translating the work from one language to another without proper citation and references.
- e) Perform any unauthorized collaboration

3) **Fabrication or Falsification,** representing evidence, results, data, or information that is included in student work in a way that is inaccurate or deceptive with the purpose to mislead the evaluator. This Fabrication includes:

- a) Submitting false or fraudulent information including transcripts, test scores, medical reports identify cation papers, etc.
- b) Intentionally misrepresenting facts, related to situations and/or individuals for the purpose of inflicting harm and/or personal gain including fabricated grievances
- c) Gaining access to unauthorized information and/or material and failure to report knowledge of such access gained personally or by other students.

Responsibility of Faculty Members

Faculty members should emphasize the importance of academic integrity in the learning process to students by alerting them that the University does not tolerate any academic integrity violation, or other kinds of academic misconduct. Faculty members are responsible for implementing strategies that make plagiarism and copying more difficult. Such is dividing a project or assignment into many milestones and requiring students to submit multiple drafts and submissions. Faculty members supplement students with guidelines for appropriate writing techniques and citations as part of the coursework. Faculty members are responsible for adhering to this policy and for reporting any identified academic integrity violation, and they are expected to take measures to discover plagiarism and other breaches and, if confirmed, impose the penalties outlined in this procedure.

Responsibility of Department Chair / Program Director

Department Chairs and Program Directors to build a culture of academic integrity and align programs' faculty members to adopt and enhance their learning and teaching practices in order to prevent plagiarism and other offenses. It is the responsibility of department chairs and program directors to coordinate the investigation processes and coordinate the imposition of penalties for alleged examination and assessment violations.

Academic Integrity Procedures

This procedure must be adhered to, when a student is perceived to be violating the University's Academic Integrity Policy.

Misconduct Categories

The following categories of common offenses correspond essentially to the three levels of penalties.

- **Minor Academic Misconduct:** Applicable to early stages of a student's study. Typical instances would include where there is a very small impact, such as poor referencing, lack or incorrect attribution for copied work inserted in an assignment, paraphrasing without adequate acknowledgement, or minor similarity is detected.

In Minor Misconduct, faculty members and Student support services provide students with supplementary assistance in the form of explanations and examples of acceptable academic writing techniques should always be provided where necessary.

- **Moderate Academic Misconduct:** The student attempted to achieve or facilitate other students in an unfair advantage, which resulted in misleading faculty members in evaluating or grading the coursework results. Examples of the moderate academic misconduct,
 - Improperly cited sources with or without significant similarity to one or multiple sources.
 - Without course faculty permission, providing assistance to students on quizzes, or other assignments.
 - The use and submission of identical or substantially related content from other students.
 - Submitting graded assignment from one course to satisfy a requirement in another course.
- **Major Academic Misconduct:** This category includes repeated moderate academic misconduct breaches or discovery with proof of severe plagiarism or cheating, as well as obvious evidence of the intent to mislead or gain a substantial advantage. Examples of the major academic misconduct:
 - Cheating in examination with physical or recorded evidence (during or after exam session).
 - Impersonating another student's identity in class attendance, coursework submission, or examinations.
 - Purchasing a complete or partial assignment from a person, repository, or essay mill business.
 - Intentional improperly cited sources with or without significant similarity of submitted assignment to one or multiple sources in key assessment (*assessment weights greater than or equal to 30/100*), such as course final project, capstone, thesis.
 - Any repeated (second) moderate academic misconduct

Penalties

Penalties are associated to the category and severity of the academic misconduct. Penalties are categorized into two levels: Faculty level penalties, Institution level penalties. They vary according to the level of study (undergraduate or graduate degrees), and the weight of the assessment.

a. Faculty Level Penalties

All faculty-level penalties are coursework assessment violations of academic integrity. Based on the nature of the misconduct, course faculty members can impose one or more penalties defined below.

Penalty Code	Official Record	Penalty Description
Faculty- A1	Not recorded	<i>Educational Penalty:</i> Refer the student to Academic Support Services for mandatory training on referencing and citation in writing
Faculty-A2	Not recorded	<i>Educational Penalty:</i> Refer the student to <i>Academic Support Services</i> complete an orientation on academic integrity.
Faculty-B1	Not recorded	Rewriting the work or assignment and retaking a test or exam without a reduction in grade
Faculty-B2	Not recorded	Rewriting the work or assignment, retaking a test or exam grade deduction
Faculty-C1	Recorded with official written notification	Reduction in the violation-related assessment grade that can reach zero without opportunity of make-up.
Faculty C2	Recorded with official written notification	Course Faculty assigns (F) regardless of the quality of grades received in the course.

Faculty-A1 and *Faculty-A2* penalties may be combined with other penalties.

b. Institution Level Penalties

Institution-level penalties are imposed by Academic Integrity Committee penalties for repeated moderate or major misconduct. When an institution-level penalty is imposed on a student, The University revokes the student's scholarships, grants, and financial aid. Also, all institution-level penalties are recorded in student academic integrity record.

Penalty Code	Penalty Description
Inst-D1	<i>Reflection Penalty:</i> In coordination with <i>Student Success Office</i> , the offended student deliver presentation to students about academic integrity principles, policy, and procedure.
Inst-D2	The offended student receives an (XF: Academic Integrity Failure) in the transcript in the violated course. This penalty is permanently recorded on the student's transcript.
Inst-E1	The offended student completes the current semester but will be suspended from enrolling the next regular semester (excluding summer).
Inst-E2	The offended student is suspended immediately from the current semester but can be enrolled the next regular semester.
Inst-X	The offended student is dismissed immediately but may apply for readmission after one year.

Determining Penalty according to Violation

In addition to the above-mentioned penalties students may be subject to additional Disciplinary Sanctions as deemed appropriate by the Disciplinary Committee.

Misconduct Level	Misconduct Categories	Penalty Code	Additional Remarks
Faculty level	Minor Academic Misconduct	Faculty- A1	Not Recorded
		Faculty- A2	Not Recorded
		Faculty-B1	Not Recorded
	Moderate Academic Misconduct	Faculty-B2	Not Recorded
		Faculty-C1 Faculty C2	Recorded as an official misconduct with a written warning to student.
Institutional Level	Major Academic Misconduct	Inst-D1	These penalties are permanently recorded on the student's transcript.
		Inst-D2	
		Inst-E1	
		Inst-E2	
		Inst-X	Academic Integrity Dismissal is recorded in the student's transcript.

Academic Integrity Dismissal

If a student accumulates three courses with (XF: Academic Integrity Failure) in the transcript, this will lead to immediate dismissal from the University. In addition, depending on the severity of the violation, the academic Disciplinary Committee can impose dismissal when appropriate. Academic Integrity dismissed students can apply for readmission after one year from the dismissal semester.

Academic Integrity Suspension

Immediate suspension of the current semester from university, in which all currently registered courses are dropped with (W: Withdrawal) grade. Suspension of the next semester, in which offended student can complete the current semester but will be suspended from enrolling the next regular semester (excluding summer).

Handling Academic Integrity Violation for Assessment

Course faculty members are responsible for assessing and grading student coursework, and they are accountable for determining if an academic integrity violation has been committed. They are primarily responsible for assessing the severity of a violation and imposing an appropriate penalty. If a faculty member suspects a student has violating academic integrity, he or she may acquire evidence either directly or through the input of others.

The faculty member presents the student with the available evidence of the suspected violation and requires an explanation. If the student agrees to the faculty member's charges and the faculty

member is satisfied with the student's explanation, penalties are imposed according to the penalties categories defined in this procedure.

Referring the Violation to the Disciplinary Committee

In case the student denies the allegations and the situation cannot be settled between the faculty and the student, or in case the violation is deemed major, the faculty member refers the case to the institution-level disciplinary committee. The faculty member submits an *Academic Integrity Violation Report* through the system, along with any supporting documentation and other evidence. The *Academic Integrity Violation Report* includes the nature of the allegation or evidence against the student, a brief explanation of the discussion with the student, and the faculty member's recommendation. The institution-level disciplinary committee reviews the *Academic Integrity Violation Report* submitted by the course faculty member.

Handling Academic Integrity Violation - Cheating in Examination:

- a. During examination
 - i. The faculty member, the proctor, or Exam Committee member may confiscate the exam of a student suspected of cheating, investigate the case, and eject the student from the exam hall or end the student's online exam. A student who suspects another student of cheating should report this to a faculty member, proctor, Exam Committee for further action. The faculty member or the proctor who suspends the student's exam must report the case and evidence to the Exam Committee for further investigation.
 - ii. A student's exam attempt should be aborted only in cases of compelling evidence of cheating. In case of suspicion of cheating with no hard evidence, the student should be permitted to complete the ex with precautionary steps as needed (e.g., by moving the student to a new location to complete the exam). The faculty member, proctor or Exam Committee member can still investigate the case during the exam and refer the incident to the Disciplinary Committee.
- b. After an exam: After the exam has concluded, If the faculty member, or the proctor discovers proof of cheating (such as by reviewing a recording of an online exam), he or she must promptly notify the Disciplinary Committee.

Referring to the violation to the Disciplinary Committee: The proctor or member of the Exam Committee who investigated the student must submit the Exam Cheating Form supported with the appropriate evidence to the Chair of Disciplinary Committee.

Hearing

A hearing session is scheduled with the student, who must attend and present an explanation for the alleged academic integrity violations. The student may bring additional evidence.

If it is concluded that the student is not guilty for the alleged violations, the student may either continue the course without penalty or withdraw from the course. However, if the student is found guilty of violating academic integrity, the student is not permitted to withdraw from the course and will be subject to the penalties imposed by the Disciplinary committee.

The student academic violation documentation of hearing, deliberation, evidence, pertaining documents are submitted to recording with the Office of Student Life and Community

Engagement. The aim of recordkeeping is to track the number of violations and their severity, as repeated violations will result in more severe penalties, moreover, recording violations will prevent students from engaging in academic misconduct.

If the academic semester concludes prior to the resolution of the academic integrity violation, due process must be followed, and the alleged student will be assigned a grade of (IP: In progress) for the relevant course until a decision is made, and final grade is published to replace the (IP) grade.

Appeal Procedure

Within 10 days of the disciplinary committee's decision, the students have the right to file an appeal for a decision made by the Disciplinary Committee. An Appeal Committee is formed by Vice President for Academic Affairs (VPAA). The appeals committee examines the case and makes a final decision. The student may submit additional evidence in the appeal, and the appeal committee may seek a hearing session with the student. The Appeal Committee presents its findings and recommendations to the VPAA, who then notifies the student via the university's official email of the outcome of the appeal.

Documentation of Academic Integrity Misconduct

The American University in the Emirates adopts The Family Educational Rights and Privacy Act (FERPA) in prohibiting the unauthorized release of confidential information about individual applicants, students, and alumni.

All student conduct documentation of academic integrity deliberation, evidence, appeal and other pertaining documents are private and protected by the designated personnel of the Office of Student Life and Community Engagement who are the sole authorized custodians of these records in addition to the course faculty member and department chair in which the misconduct was reported. These documents are shared solely with the members of the applicable committees based on the nature and process of the misconduct, such as the Academic Integrity Committee, Disciplinary Committee, Appeal Committee, and Grievance Committee, in accordance with the University Committees Charter, for the sole purpose of making the necessary decisions regarding the resolution of grievances and/or disciplinary measures in accordance with university policies and procedures.

In cases where the penalty outcomes impact the student transcript or academic standing in the University as in the case of assigning (XF) grade, Academic integrity suspension or dismissal, such penalties are permanently recorded on the student's transcript. The designated personnel of the Office of Student Life and Community Engagement is authorized to share the relevant parts of a student's disciplinary records including but not limited to penalties and sanctions with the Admission and Registration Department, course faculty member, and department chair.

In addition, academic integrity documents and records can be shared externally only upon the formal written request on the part of the UAE's authorities including but not limited to the Police and Armed Forces. These records are retained for a total period of five years.

7.4 Academic Freedom

Academic freedom refers to free search for truth and its free exposition and applies to both teaching and research. Freedom in research is crucial for the growth of knowledge. Academic freedom in its teaching aspect is essential to the protection of the rights of the faculty members to teach and the rights of the student to learn freely. It entails obligations proportional to rights. The University adopts the 1940 Statement of Principles on Academic Freedom.

Statement of Academic Freedom

- Faculty members are entitled to complete independence in research and the publication of the results, subject to the fulfillment of their other academic responsibilities; nevertheless, funded research must be based on an agreement with the university or the funded entity.
- Faculty members have the right to freedom in the classroom when addressing their subject, but they should avoid introducing controversial material that is unrelated to their discipline. At the time of the appointment, any restrictions on academic freedom imposed by the institution's religious or other goals must be fully stated in writing.
- Faculty members are citizens, practitioners of a learned profession, and institution officers. When they talk or write as citizens, they should be free from institutional censorship or discipline; nonetheless, their unique position in the community entails unique responsibilities. As academics and
- educational administrators, they must realize that the public may criticize their profession and institution based on their words. Therefore, they must always be accurate, practice proper restraint, respect the viewpoints of others, and make every attempt to convey that they are not speaking on behalf of the institution.
- Students have the right to learn freely, academic freedom safeguards students from discrimination on the basis of their own principles and beliefs by faculty members. It recognizes the significance of student opinions and the need to ensure they can be heard without fear of faculty reprisal. Students have the right to learn anything they choose, but they are also responsible for completing all required coursework within the context of their enrolled courses.

Academic Freedom Duties

Members of the academic community have a responsibility to treat one another with dignity, to tolerate and even celebrate differences of opinion, and to promote and defend intellectual honesty in classrooms, counseling sessions, and public discourse both on and off campus. Additionally, faculty members are accountable for, but not limited to, compliance with University policies and procedures, applicable laws, and the employment contract. The University adopts the AAUP 1966 Statement on Professional Ethics that defines the “duties” in the 1940 statement of Principles on Academic Freedom.

- Academic staff inspire students to pursue knowledge and learning to which the free expression of ideas and exchange of perspectives without fear of repercussion is promoted and safeguarded, while academic staff uphold their responsibilities to manifest respect and dignity for students and value themselves as exemplary scholars in terms of ethical practices in their disciplines.
- Academic staff uphold the integrity of the student-academic staff relationship as demonstrated in the adherence to ethical academic behavior that guarantees fair and impartial merit-based student evaluations.
- Academic staff avoid discrimination or unfair treatment of students and protect their academic freedom and interest.
- The academic staff, motivated by a strong belief of the importance and integrity of the development of knowledge, recognize the unique responsibilities imposed upon it, and state the facts as they see it.
- They recognize the responsibility to exercise essential self-discipline and judgement in the submission, extension, and transmission of knowledge. They exercise moral integrity and strive never to substantially obstruct or undermine their primary duty.
- The Academic staff are responsible for determining the teaching methodology in line with the approved course syllabus. The academic staff recognize the academic freedom as a fundamental part of classroom experience.

- Academic staff avoid harassment and discrimination against colleagues. They respect the opinion, ideas, and disapproval of others.
- Academic staff contribute in developing and reviewing the institution's policies and procedures and undertake their responsibilities for the governance of their institution.
- As members of society, academic staff determine the importance of their own duties in the light of their contributions to their students, their peers, and their institution. When expressing or behaving as individuals, they avoid giving the appearance of expressing or behaving on behalf of their institution.
- Academic staff are required to respect class schedules as established, keep office hours for student guidance, and facilitate students' access to course information.

Reporting Violation of Academic Freedom

The University provides an even-handed internal resolution for objection, disagreement, or any violation of the academic freedom raised by faculty members and students about a circumstance, fact, decision, condition, or issue between employees, students or between the employee and the academic administrative unit within the University capacity.

Faculty members and students may submit official grievance in writing by following the grievance policy and procedure, (please see Employee Grievance Policy, Student Grievance Policy).

7.5 Shared Governance

Academic Vice Presidents, under the supervision of the Provost and University President, have principal accountability to encourage and stimulate a cooperative, helpful, and caring working atmosphere, and to defend, hearten, and recognize academic staff in the performance, achievement, and accomplishment of their duties related to their job descriptions, expected deliverables, institutional support, and professional advance.

The main responsibility of the University academic staff, from a governance perspective, is to participate in committees, and councils in a positive and productive manner with other faculty and staff members, as they work toward the mutual objective of achieving the University mission.

Academic members have primary responsibility in University governance through suggestion, formulation, and improvement of recommendations related to policies, procedures, and processes, chiefly those that have or will have a noteworthy influence on them.

In addition, the elected faculty member representative can be part of the Academic, Administrative and University councils voting member.

7.6 Professional Ethics Statement

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.

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.

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 roles as guardians of intellectual honesty, scholarly excellence, and pedagogical soundness.

Faculty member throughout employment at AUE must seek approval prior to sharing any article, opinion, or participating in any media (written or verbal form) that contradicts with the University policies or the UAE Laws.

Faculty member must refrain from sharing any official internal sensitive/confidential information as well as personal information with the students.

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 preserving students' right to learn, and protect faculty/student confidentiality, without ever taking unfair advantage of their privileged positions. AUE policy prohibits faculty members from having intimate liaison with the students they teach or those they supervise.

Relationship with Colleagues

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

7.7 Conflict of Interest

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

Conflict of interest forms

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 to 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 include, but are not limited to, actual and potential forms of conflict of interests:

1. 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.
2. Intentionally or knowingly solicit, 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.
3. Disclose any personal interest that may influence actual of potential conflict of interest.

Conflict of Commitment

All AUE employees should avoid being committed to any external (personal or other non-work-related) activities that significantly worsen their ability to meet their professional commitments to the institutions.

Faculty shall not work for or be entitled to be employed by any organization or person other than the University at any time during the term of their Contract without a prior written approval by the University.

Faculty shall not engage in any outside business activities, including, and not limited to, providing private consultancy and private tutoring to any student, whether enrolled at the University or in other academic institutions, without a prior written approval by the University.

Faculty shall not enter into any implicit or explicit Contractual agreement with any third party which might impose restrictions and affects or limits the faculty's activities during the term of the Contract with the University.

Conflicting Party

All AUE employees should not seek contractual or other business or financial relations with the institution.

Family

This policy includes but not limited to spouse, children, parents, siblings, grandparents. Please refer to "Nepotism Policy" for more information.

Gifts

This policy includes anything of a value whether it is a product, a service, a discount, etc. Please refer to "Anti-Corruption and Bribery Policy".

7.8 Copyright

The University shall facilitate to its faculty and students in the open and free setting to conduct scholarly efforts and to publish the results of such research, without limitation, in compliance with applicable copyright laws. The University Copyright policy outlines the guidelines that shall be followed when dealing with copyrighted content, and the fair use of the faculty, students, and any member of the University community to copyrighted material.

Definitions

Copyrighted Material (Intellectual Work)

According to UAE Law Copyrights and related rights, an intellectual work is any original work in the areas of literature, arts, or science, whatever its description, form of expression, significance or purpose. The following intellectual works are protected under copyrights law:

- » Books, booklets, articles, and other literature
- » Computer software and applications, databases and similar works defined in a decision to be issued by the UAE Minister of Economy
- » Lectures, speeches, sermons, and other works of similar nature
- » Plays, musicals and pantomimes
- » Musicals accompanied by dialogues and musicals which are not accompanied by dialogue
- » Audio and video works or audio-visual works
- » Architectural work and architectural plans and drawings

- » Drawings, paintings, sculptures, etchings, lithography, screen printing, reliefs and intaglio prints and other similar works of fine art
- » Photographic work and the likes
- » Works of applied art and plastic art
- » Charts, maps, plans, 3-D modelling for geographical and topographical applications and architectural designs etc.

Fair Use

Fair use is a legal principle that endorses freedom of expression by permitting under certain circumstances such as criticism, comment, news reporting, teaching, scholarship, and research the unlicensed use of copyright-protected works.

The University establishes guidelines regarding the Fair Use of copyrighted material, use of multimedia and copyrighted works in the classroom. The Institution's copy right policy is developed based upon United Arab Emirates Copyright Law and United States of America Copyright Law.

Responsibilities

The University community members including but not limited to faculty, staff and students must make demonstrable legitimate efforts to understand the principles of copyright law and the reasonable application of fair use. The University community members must examine the details of their use within the context of the law prior to using a copyrighted work in their teaching or research, thus they can determine whether they should obtain a permission for the use or depend upon the fair use exemption.

Compliance with the federal copyright law and with this policy is the responsibility of every member of the University community. All members are expected to take a personal interest in becoming aware and informed about how copyright law affects the Institution's work.

University Copyright Guidelines

1. Copyright grants to the author the privilege to solely and exclusively create multiple copies of productions as well as publishing and selling them.
2. Any use of copyrighted materials that do not qualify for Fair Use requires permission and/or fees to the copyright holder unless the use is lawfully approved and falls within an exemption in the law, such as the fair use exemption.
3. A photocopy or reproduction should not be used for any purposes other than academic research or personal study. Photocopies or reproduction made for other purposes beyond "Fair Use" may be liable for copyright infringement.
4. Photocopying of a textbook chapter or a workbook page is considered a reason for deprivation of the copyright owner's profit than if copying one page from the daily paper.
5. Instructors may distribute photocopied materials to students in class without prior permission from the copyright owner under the following conditions: » The materials include a copyright notice on the first page of the portion of material photocopied. » No fees are claimed from the students other than the actual cost of the photocopying. » The amount of photocopied material should be reasonable in relation to the total amount of material assigned for one term of a course.
6. The use of a copyrighted material is unlikely to be found a fair use if the use will affect the market of the copyrighted work and If the reproduction of a copyrighted work may reduce the potential market and sales and accordingly the profits of the copyright owner.

7. When using electronic materials, the University must implement some technological measures to ensure compliance with the copyright policies beyond merely assigning a password. Ensuring compliance through technological means may include user and location authentication through Internet Protocol (IP) checking, content timeouts, print-disabling, cut, and paste disabling, etc.
8. 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.
9. 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:
 - a. It is for non-commercial, personal or educational purposes only.
 - b. There is no modification of any information or image.
 - c. It is to include any copyright notice originally provided in the materials.
10. 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.
11. Any plagiarism or falsifying of information observed shall lead to legal action and/or expulsion.

7.9 Intellectual Property

Intellectual Property denotes the development of original thought, including but not limited to publications, artwork, software documentation and applications. All rights in the academic activities research performed by faculty members and students during their tenure in the University are recognized as the University Intellectual Property assets; this includes, but is not limited to research outcomes, projects, thesis, working documents, reports, academic programs, and software design, documentation, and applications and/or modified. The inventor is defined as but is not limited to any University student, academic or administrative employee full-time and part-time who works at or under the auspices of the University.

The intellectual property gained in the course instructions, student coursework, research project utilizing the facilities, equipment, or resources of the University is considered the University property. The University has the right to transfer or license any intellectual property that it owns. Faculty shall not be allowed before or after their tenure with the University to sell, lease and/or share any of the documents with an external group. The University shall legally prohibit any member of the University community from infringing copyright; see the Copyright Policy for more information.

Definitions

- » **Intellectual Property:** Any University work\product by either faculty, staff or students that shall be protected by copyrights and\or patents. Intellectual Property (IP) falls into two groups, work covered by patent law and work covered by copyright law.
- » **Inventor\Author:** The creator of any work\product that produces Intellectual Property.
 - » **University Work:** It is defined as any research work, teaching activity, student coursework or any other activity performed by an individual during which that individual makes use of the University facilities and operations to produce that work.
- » **Invention:** Any creation or discovery encountered during a research project or a University activity by any individual(s) of the University Community.

Intellectual Property Ownership

All intellectual property resulting from a University's work, including but not limited to, patentable inventions shall be the property of the University if the resources of the University were utilized or produced in conjunction with a research project or any activity administered by the University. The Patent Office shall recognize, on a case-by-case basis, the ownership by intellectual property of the measurable research findings obtained at or in the University auspices. Moreover, if the University does not aim to pursue intellectual property protection, the Patent Office shall inform the Inventor of the University's decision to waive its rights of ownership to the Invention. Terms for a Release Agreement shall be negotiated by the Vice President of Research and the Inventor.

Exceptions

The inventor/creator shall retain ownership of the following:

- a. Any works of art, literature, literary work such as textbooks, articles, and other publications are the property of their authors even with the utilization of University resources as long as such works are not constructed under the direction or control of the University or developed as part of the research funded by the University.
- b. All copyright in research papers, thesis and dissertations written as a student to earn credit in enrolled courses at the University or to satisfy the degree requirements possesses shared ownership between the University and student.
- c. Inventions that are not a result of university work and do not involve University resources.
- d. Inventions that are a result of an externally funded research project.
- e. The University shall waive any claim to an invention that is according to the judgement of the Vice President of Research not a result of University Work or as outlined in the Commercialization of Intellectual Property policy (Please see the policy for more details). In such instances, the inventor will have the ownership of the Invention and can pursue activities to protect, market and license intellectual without implicating the University.

Responsibilities

Inventor/Creator Responsibilities

The creators of the Intellectual Property are required to abide by this policy and shall promptly disclose to the University any Invention or discovery that the University may own under the terms described in this policy. Furth more, they shall submit to the University any assignments or other necessary documents to protect the rights of the University in the intellectual property.

Administrative Responsibilities

The implementation and administration of this policy is the Vice President of Research responsibility. The Vice President of Research shall:

- a. Establish guidelines addressing the implementation of this Policy.
- b. Govern the intellectual property protection on behalf of the University.
- c. On behalf of the University, take appropriate actions for patenting and/or marketing Inventions owned by the University.
- d. Notify the Inventor whenever the University chooses not to claim ownership of an Invention that has been disclosed to the University

8 University Policies Applicable to Faculty

8.1 Institutional Relations Policy

The University maintains current, pleasant, and collaborative-spirit rapport with external stakeholder including governmental, employers, accreditation bodies, higher educational, supplier and community entities. The purpose of this policy is to ensure that any communication with these entities will be routed through the proper channels. The Institutional Relations Policy outline the principles and guidelines to all university staff for governing and managing relations with external stakeholders\entities.

Institutional relations activities shall be performed in a highly ethical and collaborative spirit - in line with the University's values of integrity and transparency.

AUE employees who are involved in managing external relations should avoid conflicting or inappropriate approaches to external parties and should serve as university ambassadors with careful consideration not to bring the University into disrepute. External sharing of university information should be performed cautiously to ensure that such information is appropriate and accurate. All employees involved in managing external relationships for the University must comply with this policy and abide by the communication channels listed below

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.
- » Division of Research and Provost Office handle the academic and research collaboration communications and initiatives with national and international academic and research institutions and academic ranking entities.
- » Student Recruitment Office handles all communication with Student Recruitment stakeholders (Schools, Parents and Prospective Students)
- » Alumni Office handles the communication of employers, potential employers, and all alumni pertaining initiatives.
- » Career and Internship Office handles the communication with potential employers and internship-site supervisors.
- » Media and Communication Department handles communication with the media, by developing media contacts; including media briefings, interviews, press releases, newspapers
- » Moreover, the Media and Communication Department manages public communication by setting strategies and guidelines to provide accurate and timely public information of the University.
- » Procurement under Facility Management Department handles the vendors communication pertaining University various needs.
- » Information Technology Department handles all communication related to procurement of technology hardware and software.

- » Library handles the communication with publishers and eBook suppliers as well as communicates with other libraries and archive centers for potential collaboration.
- » 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.

8.2 Office Hours

All full-time and full-time equivalent faculty shall complete 8 working hours per day, including a lunch break, for 40 working hours per week, which shall include teaching, academic advising, office hours, proctoring, meetings, research, professional development, and community service. Faculty should allocate at least ten (10) working hours per week for office hours that are suitable for the students.

The faculty member shall work five (5) days per week, 44 weeks per academic year, with assigned working hours during the hours of University operations based on their academic schedules and other requirements.

Similarly, part-time faculty shall complete at least one office hour per week to meet with students and answer their queries outside of the class timing.

8.3 Faculty Teaching Load Policy

The faculty teaching load policy and procedures serve as a guide to all faculty members, and academic administrators to allocate a well-balanced teaching load, that fosters effective and productive work environment as well as sets principles of equality and transparency across the academic departments and programs.

The University adheres to a consistent and transparent teaching load for all its faculty members and academic administrators to support and congruently meet its academic programs' needs. The University carries out its Mission with the support of employing adequate and qualified faculty members to its academic programs both credit-bearing and noncredit-bearing in line with the international norms.

Teaching Load Assignment

The University promotes equitable and reasonable teaching load assignments to its faculty members and academic administrators, considering the balance of expected outcomes in vital area of teaching. Faculty members are expected to manage and significantly contribute to their duties and responsibilities as articulated in the Faculty Roles and Responsibilities Policy.

The College Dean is accountable for ensuring well-balanced teaching load assignments across academic departments and/or programs in compliance with the University teaching load Policy. The teaching load assignments involve a wide range of faculty responsibilities, such as teaching, academic advising, supervision of thesis/capstone/internship, direct study, committee tasks, and curriculum development.

Faculty Teaching Load

The University adheres to the following faculty workload assignment. Faculty members/Instructors with high teaching load assignments in one semester should be assigned a lower load in the subsequent semester.

In exceptional circumstances where teaching overload is inevitable, the overload is limited to one (3) credit hour course per faculty member per year and compensated through direct overload compensation during the semester in which the overload is taught.

- a. 30 credit hours or equivalent per academic year, including the summer period (typically no more than 15 credit hours per semester) for non-terminal degree holders teaching in the General Education component of programs.
- b. 24 credit hours or equivalent per academic year, including the summer period (typically no more than 12 credit hours per semester) for faculty members with terminal degrees teaching in undergraduate programs. If exemption is granted by the CAA to allow faculty without terminal degree to teach courses, the limit of 24 credit hours will be applied to this faculty.
- c. 18 credit hours or equivalent per academic year, including the summer period (typically no more than 9 credit hours per semester) for faculty only teaching in graduate programs, or pro-rata for faculty teaching a mix of undergraduate and graduate courses.
- d. 6 credit hours, or equivalent, per semester for part-time faculty members.
- e. Teaching during summer term is calculated within the above teaching load limits and cannot be mandated for faculty members.
- f. The University provides minimum release time of 3 credit hours per semester for the Associate Dean, Program Chair, Chair of Department and Graduate Program Director.
- g. Faculty Members/Instructors with high teaching load assignments in one semester should be assigned a lower load in the subsequent semester.
- h. Colleges must not routinely or persistently assign teaching loads to faculty in excess of the above limits.

In consultation with the Dean, a faculty member may be awarded a course release, as stated in the Course Release Policy.

Teaching Load for Academic Administrators

The University assigns the below teaching load for each of the below listed academic administrators.

Faculty Members	Teaching Load
President	0
Provost	0
Vice President for Academic Affairs	3
Vice President for Research	6
Dean	6
Associate Dean	9

Teaching Load for Academic Supervision

The University includes the allocation of Thesis, Internship, and Capstone Graduation Project supervision in the calculation of the faculty teaching load. For faculty members who are assigned as academic supervisors to either Internship course or Capstone Graduation course, the load is calculated as one credit hour for every five (5) students. The supervision of either Internship or Capstone must not exceed fifteen (15) students per academic supervisor per semester.

For the graduate thesis supervision, each student will constitute 0.5 credit hours teaching load per Thesis and shall not exceed three (3) credit hours per semester.

Teaching Load for Direct Study

The University considers the Direct Independent study in the faculty workload allocation. The direct independent study is calculated as one credit hour in the teaching load.

Teaching Load for Laboratory Sessions

Faculty members delivering laboratory or studio sessions are assigned one (1) semester credit for every two laboratory hours per week over a fifteen (15) week semester.

8.4 Examinations and Academic Assessments Policy

Applying appropriate assessment tools and methodologies is a key component of learning, as it assesses the students' performances throughout the course, also, aids in determining what have had been understood from the course content.

The University is committed to offer quality academic programs to prepare its students for successful career Aspiration and continuing higher education. Faculty members develop appropriate assessment tools and methodologies complied with the National Qualification Framework of Emirates (QF Emirates) level 7 and 9 and aligned with the course learning outcomes, to ensures its students obtain the required knowledge, skills, and competencies. All course assessments are graded based on well-developed rubrics to ensure consistency and moderate grading on the students work. Students shall submit all coursework through the dedicated Student Portal, and further will ensure that their submission is the result of their own efforts. It is mandatory for assignments to avoid similarity (without acknowledging the sources) and the same shall be ensured by faculty member through the integrated anti-plagiarism software Turnitin.

All students are expected to attend the final examination as per the announced schedule shared in the student portal. In addition to other course assessments required and given at the day and time of the course schedule. Students must adhere to the Examination Guidelines outlined in the Student Portal and Student Handbook, when attending all examination. All types of examinations are subject of proctoring and monitoring to ensure exam security, academic integrity, and fairness.

In-term Examinations

All course assessments except the final exam are given during the course scheduled time. In case the faculty member decided to conduct exams outside the course schedule and timing, it is the responsibility of the instructor and college to notify the students on the date, timing, and venue of the exams.

Midterm Examinations:

Midterm exams are scheduled during the seventh and eighth weeks of the semester. It is the responsibility of the faculty member to notify and announce to students the date of the midterm exam of a particular course and to assure appropriate administration of midterm exam as per the Examination Guidelines.

Lab Examinations:

Computer-based courses examination are administered in the University labs adhering to the Examination Guidelines. Students must complete the lab examination with the University resources without any external and additional equipment and devices. The access of internet browser during the examination is prohibited, in case the student faces any technical issue, it is reported to the exam proctor.

Open Book Examinations:

Students are allowed to refer to either class notes, summaries, textbooks, or other approved material by the instructor (that are clearly mentioned on the cover page under the instruction section) during the open book examinations. The open book examinations are designed in a way that requires students to apply their knowledge, through analysis and critical thinking. All examination guidelines are applied on the open book examinations.

Final Projects:

Based on the level and nature of the course, the faculty may request students to submit a final project report either individually or in a group and present it in class. Prior the final project submission, students must adhere to the guidelines on the expected structure and outcome of the final project and presentation provided by the faculty member in the student portal. As part of the grading and assessment process, two or more examiners, involving internal and external juries, are invited by the faculty member to assess the student's project and presentation skills. Final Projects are conducted during the class timing and on the last week before the final exam period. If the faculty member chooses a different day and time from the course schedule, students must be notified on the date, time, and venue of the final presentation.

Final Exams:

Final exams are conducted during the final exam period as outlined in the Academic Calendar. No coursework such as projects, assignments or case studies should be assigned to students during the final exam period.

The final examination schedule provided by the exam committee must be announced in the student's portal. Students will have a maximum of two exams scheduled for the same day; in case of more exams (three or more in a day), students have the right to approach their college dean and request to reschedule alternative dates.

The Student Life Office and the Counseling and Disability Office communicate and coordinate with the exam committee to accommodate the special need students during the examination period. Special need students are allocated in different examination halls and are adhered to the University's Examination Guidelines.

All faculty members are expected to be available during the final exam period. It is the responsibility of the college dean to assure that final exams are conducted and managed appropriately under proper proctoring protocols. The College must notify the exam committee in case of any special requirements needed during the final examination. The final exam committee allocates sufficient number of proctors across all final exam halls and ensure the integrity of the examination process. All faculty members must post the grade within the defined timeline from the day of the examination.

Final Exams Permit

Only students who are registered in the course are eligible to sit for the final exams. Students who are dismissed from the course due to absences and holds financial dues are not permitted to sit for the final exam. University IDs must be presented by the permitted students to proof their identification and to sit for the final exam. Students are expected to be present at the final examination venue on time; late arrival students are strictly not allowed to enter the examination hall.

Emergency final exam

Faculty members must submit an emergency final exam that is different than the version given to students. The emergency exam must be sealed and kept with the College Dean.

Incomplete Exam

All students are expected to accomplish the course work requirements, including the final exam, to earn a final grade successfully. Students who do not attend both the midterm and/or the final exams due to the following reasons: (1) Emergency Illness, (2) Road Accident. (3) Death of next of kin and (4) Official/Governmental Mission shall be awarded (F) and immediately apply for an Incomplete Exam within the Admission and Registration Department.

The request for an Incomplete Exam can only proceed for those students upon the approval of the Course Instructor, Chair of Department/Program Director, College Dean and Provost. This Incomplete Exam Approval shall be subject to (1) achieving the satisfactory course work requirements and (2) are not dismissed under any grounds (disciplinary/attendance). Once approved, a grade of "I" will be recorded on the student's transcript and will be pending until the completion of incomplete examination/final course assessment.

All incomplete exams will be conducted within one week after the completion of final exams and will be announced on the student's portal. Hence, the Academic Calendar, which is announced at the beginning of each Academic Year, shall include an "Incomplete Exam Period" right after one week of the final exams. It is then the student's responsibility to coordinate with their Course Instructor and appear for the incomplete exam as per the announced schedule.

Failing which no repeat exam will be conducted and the grade of "I" will be reverted to "F" in the final exam and the final grade shall remain as assigned by the Course Instructor.

8.5 Course-Release Policy

The faculty members with active record of research and publication are able to request 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.

Eligibility for Course Release

Faculty members with active record of research and publication can submit the request for course-release for a maximum of one academic year to permit them to devote sufficient time to funded scholarly activities.

Responsibilities

- » Each department is responsible to review and handle the instructional course release requests received from the faculty members while considering balancing the department needs with individual needs. The Department Chair has the authority to determine if a faculty member is eligible for a course release and can approve or reject the course release requests taking into consideration the needs of the department.
- » College Deans in coordination with the provost office shall administer and monitor the Instruction Course Releases process.
- » Instructional course releases should not unfavorably impact the operations of the department and should not relieve the faculty member from other responsibilities to the

College, this includes but not limited to advising, serving on committees, or participating in departmental business. Faculty members shall commit to be in residence and carry out their other duties during the period in which they have a course release.

8.6 Course File Policy

Updated files for each course are maintained to provide information about course improvement areas to the course leaders, college, and Institutional Effectiveness Department, hence that they can recommend course improvements or change to strengthen the program.

Faculty members maintain updated files for the courses they teach in each semester. File of each course contains enough information about different aspects of the course stipulated in CAA Standards Annex 16 so that the course review committee evaluates the courses to ensure appropriate level of quality delivered as per the course syllabus, by meeting the expected learning outcomes, as well as, demonstrating the appropriate changes suggested in the course.

Faculty members complete comprehensive course file with all needed details within two weeks from the last date of Examination.

Course files must be readily accessible to faculty and include the following information:

- a. Syllabi for the current and most recent previous offerings of the course; including any summer session offerings.
- b. Copies of all instructor teaching materials;
- c. Copies of all assessment instruments;
- d. Instructor worked answers and marking schemes for all assessment instruments.
- e. Examples from across the range of student performance of graded responses to all assessment instruments.
- f. Students attendance data
- g. A comprehensive instructor review of the presentation of the course, covering:
 - » Appropriateness of the course learning outcomes.
 - » Extent to which the syllabus was covered.
 - » Extent to which learning outcomes were met (with evidence).
 - » Appropriateness of textbooks and other learning resources.
 - » Appropriateness of assessment instruments in relation to learning outcomes.
 - » Appropriateness of the balance of assessment.
 - » Appropriateness of prerequisites.
 - » General comments on any problems encountered with the course.
- h. quantitative analysis of student performance including individual student grades, both cumulative and for each assessment, and grade distribution;
- i. Summary of student feedback on the evaluation of the course. j. instructor's proposals for any course improvements.
- j. Summary of actions taken to improve the course.

Course File Procedure:

- 1- Upon completion of the course, the faculty members will submit their course files based on Stipulation 7 of CAA standards, that carries the following information:
 - a) Course syllabus/outline for previous and current course offerings.
 - b) Teaching material for the course including but not limited to presentations, books, reports, cases, articles, videos etc.
 - c) Formative and summative assessments with evidence of marking and feedback
 - d) Marking schemes including rubrics and answer keys
 - e) Samples from graded responses all assessments
- 2- Following the above, faculty members are required to provide a detailed instructor review for the course including the below points:
 - a) Appropriateness of the learning outcomes of the course
 - b) The extent to which course syllabus is completed
 - c) Review of the CLOs with evidence and stipulating the extent to which CLOs were met
 - d) Appropriateness of learning resources including textbooks
 - e) Assessment instruments appropriateness in relation to CLOs
 - f) Appropriateness of balance of assessment
 - g) Prerequisites' appropriateness
 - h) Overall comments about other issues counter with the course
 - i) Quantitative analysis of students' performance

8.7 Curricula Approval and Revision Policy

The University adheres to an ongoing process for revising, approving, and ensuring curricula effectiveness in all academic programs to monitor, assess and improve the student learning and the program while ensuring the alignment with the Program Mission and Institutional Mission. The process of curricula reviews and approval involves formal and informal inputs and recommendations provided by faculty members, students and external stakeholders.

Course-Level Continuous Improvement

The University maintains course-level continuous improvement cycle for each course offering in every semester, where each course- faculty member is required to assess the course effectiveness by considering direct and indirect measures to determine whether the course meets its learning outcomes and ultimately the program learning outcomes. Recommendations of improvements provided may differ by the type of actions involved. Changes in the curricula may result in either addition, and changes in the courses and academic programs.

Direct and Indirect Assessment

The academic departments shall consider including the attainment of course learning outcomes through direct measures of coursework and associated rubrics, and indirect measures that provides additional information from student evaluation, faculty evaluation, lesson observation from peer faculty to assess the classroom management, instructional effectiveness, and the use of technology

Direct Assessment

Faculty members are expected to build a balance of meaningful assignments in every course syllabus that maintains appropriate cognitive reflection of student learning, and that fits the instructional experience, as well as use course-embedded assessment information to evaluate the course learning outcomes and to determine the student's competence as a primary direct measure.

Types of direct measures of learning

- i Formal Assessment and Student Sample: Formal assessments are associated with cognitive goals in order to review student achievement with respect to a common body of knowledge associated with a program discipline or course.
- ii Capstone Course Evaluation: Capstone integrate knowledge, concepts, and soft skills associated with an entire sequence of study in a program, it provides an ultimate experience for student in the discipline.
- iii Portfolio Evaluation: Fine Arts, Design, and media academic programs necessitate an acquisitive paradigm to students' evaluation, a paradigm which must showcase and incorporate students' abilities, efficiency, competencies, creative reasoning, individuality, forms of expressions, and original creativity in a cumulative collection throughout the students' academic progressions.
- iv Internship Evaluation: Internship sites, internship site supervisor and academic supervisor reports along with the student reports provide information about the student skills, abilities and appropriateness of applications and relevancy of topics covered in the program courses.

Rubrics

All coursework assignments must be associated with grading rubrics. Faculty members must use analytics rubrics to rate the characteristics of student performance or product work against the course learning outcomes. The rubric embodies the actual course learning outcomes as performance criteria that resembles the course syllabus to connect each graded coursework to a specific course learning outcome and program learning outcome, in order to obtain reliability and validity of measures.

Learning Outcomes Threshold

Academic departments shall define a threshold for each course learning outcome and for each program learning outcome that shall consist of two conditions: the inclusion of students in percentage and the minimum acceptable learning outcome attainment. The learning outcomes threshold will aid the faculty members to plan for an improvement and remedies to maintain and/or enhance the achievement of the learning outcomes according to the defined thresholds.

Indirect Assessment

Comprehensive Instructor Review (CIR)

By the end of each semester, faculty members are required to address all course review component of the course file by providing thorough input and recommendations on the presentation of the course, appropriateness coverage of the course learning outcomes, textbooks and other learning resources, assessment instruments in relation to learning outcomes, prerequisites, and general comments on any challenges encountered with the course. The implementations of proposed changes would only take place after thorough consideration by the

academic administrators on its impact on the program learning outcomes and the Institutional Mission as an overall.

Students Involvement

The University takes into account the students' evaluation of the course, teaching pedagogy and learning methodologies, as well as, their perception of comprehending the CLOs, as part of the indirect assessment in the course-level continuous improvement cycle. The students' inputs are aggregated and considered in the decision-making process of proposing and implementing improvements.

Lesson Observation

The academic departments must regularly conduct a class visit as a "Lesson Observation" by peer faculty members to assess three main areas, class management, instructional effectiveness and use of technology. The results of the lesson observation are compiled and included as part of the course-level continuous improvement.

Advisory Board Involvement

The University reinforces the significance of the external stakeholders' input and recommendation on the curricula. Academic departments must ensure the involvement of the advisory board in reviewing the curricula assessment and its performance figures for recommending improvements that emerge with the market need and demand.

Program-Level Assessment

It is the Head of the Academic Departments role to ensure an ongoing process of program assessment framework, that collectively comprises of outcomes from the course-level continuous improvements cycle. The program-level assessment shall identify the program learning outcomes attainment, faculty preparation involvement and credentials, allocation of sufficient resources and equipment, in addition to the involvement of alumni, employers, and associated advisory board. The results of the program assessment shall set forth the alignment of pedagogy and curriculum with the expected learning outcomes and analyzes that may lead to improvement of the curricula.

Educational Program Assessment Timeline

The Department Chair or Program Director must publish a consolidated program assessment report by the end of the academic year, that shall consist of all direct and indirect measures by program stakeholders, along with an overview of the outcome attainments. The program assessment report shall articulate action plans to be implemented based on the nature of improvements as a use of result.

Apply Improvement (Closing the Loop)

The University emphasizes on its academic departments to effectively act on implementing the improvement plans determined by the Department Chair of Program Director upon the obtained final approvals. The approval procedures on the action plans differ based on the nature of recommended changes.

Communicating Changed Curricula

The academic departments in collaboration with enrollment and student support services are responsible to communicate and share with students the changed approved curricula that are but not limited to changes in study plan, program admission criteria, and teaching and learning methodologies. Academic departments shall utilize mainly the primary communication channels for which students regularly monitor to communicate for any curricula changes, in addition, to

secondary communication channels if appropriate, according to the Students Communication Policy.

Curricula Approval and Revision 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:

Substantive Changes in the Curricula

Any improvements or changes that could significantly modify the program's goals or learning outcomes, basic structure, or mode of delivery, requires notifying the national accreditation for final approval prior to implementation. These improvements include:

- » Change significantly the program learning outcomes PLOs and/or program goals.
- » Add new concentration, new track, or new minor concentration.
- » Establish instruction in a significantly different format (such as an intensive weekend classes) or method of delivery (such as e-learning).
- » Make significant changes in the organizational structure, such as separating one unit or college into two or joining two separate units (such as two departments or colleges)
- » Enter into a contractual relationship with another organization to provide instructional services.
- » Change the language of instruction for the program.
- » Change program admissions requirements from those approved by the Commission during the accreditation process.
- » Make major reductions in program offerings.
- » Increase or decrease the length and completion requirements of the program.

Proposed substantive change should obtain the approvals from the proper council before submitting to the Institutional Effectiveness Department (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.

Non-Substantive Changes in the Curricula

- » Update a course (topics, outlines, assessments, software and/or learning material)
- » Add a new course
- » Update Course Learning Outcomes CLOs
- » Update Course prerequisite/co-requisite
- » Merge courses
- » Mandate particular assessment
- » Update credit hours without affecting the program length
- » Mandate a workshop
- » Recommend a training for faculty on particular areas.
- » Update the admission criteria
- » Acquisition request for learning resources

Proposed non-substantive improvements should obtain the approvals from the proper committee/council before submitting to the Institutional Effectiveness Department (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.

8.8 Academic Advising Policy

The University provides appropriate academic advising services that are consistent with the institution's mission to enhance the educational and personal development experience of students at all levels and to enrich their academic achievement. In keeping with its mission, the University through its academic advising help students to determine their goals according to their capabilities, skills, concerns, career and educational interests, select courses and determine their educational plans according to their goals and career interests, develop their decision-making skills, provide useful information to students on programs, resources, procedures and policies, assist students in connecting with institutional services and help students to evaluate their educational plans and career goals.

The University is committed to provide academic advising to its students to develop and enhance students' educational plan in a way that is consistent with their goals and career plans, as well as, prepare students for successful employment and continuing higher education.

The Principles of Advising

The University focuses on active learning and advising methods which are both motivational, developmental, strengths-based and is done in an open dialogue. The open dialogue recognizes and explores multiple influencers and creates opportunities for critical thinking and reflection that helps students examines, interpret, integrate, and personalize their educational experience and emphasizes progress, growth, discovery, connectedness, and engagement.

Advising and Student Success Unit

A designated "Advising and Success Center" Office also provides support and assistance in coordination with the academic advisors and provides direct advising services to the students, this includes but not limited to:

1. Be the primary advising department for all students including, freshmen students, transferred students and undergraduate students
2. Provide services to students who experience academic difficulty or are subject to dismissal;
3. Coordinate new students' orientation sessions
4. Provide general advising information workshops to students;
5. Having access to the student's grades data to keep track of the student performance

Advising and the First Year Experience

Advising becomes exponential when it is delivered as part of the first-year experience, during transition from lower to upper division course work, and at the end point when students are transitioning from undergraduate study to career and post-baccalaureate study.

Roles and Responsibilities

Academic Advisor

It is the academic advisors' responsibility to employ their professional expertise in advising students, therefore, students based on their field of study are allocated to full-time faculty members as advisors, to regularly guide, monitor and ensure the students' progress throughout their educational path. The academic advisors shall provide their advisees with the needed academic guidance and support during their period of study and shall also mentor them and monitor their academic standing and performance and ensure that they follow their study plan properly.

Students

The students shall be responsible to communicate and meet their academic advisors and they shall follow their guidance and advice. Students shall discuss any academic matters with their academic advisors and shall seek their guidance on a regular basis during the semester.

The following group of students are required to meet their advisors on regular bases during each semester:

Student "At Risk"

Students At Risk defined as who have attended less than 30 credit hours (Freshman students) with a low CGPA less than 2.00 out of scale of 4, as stated in the Academic Progress Policy. The Advising and Success Center provides special support classes for students who are seeking academic help in some areas to enhance their academic standing.

The below are the attributes for the students who are at risk:

A. Students under academic probation status

Advisors in coordination with the Advising and Success Center shall manage to enhance the students' academic standing and progress. Students are mandated to visit their academic advisor to regularly convey what students need to do to leverage their academic performance.

B. Student with Poor Attendance

Students with poor attendance records will receive automated messages as an attendance warning, as referred in the Student Attendance Policy. Those students will be closely monitored by their advisors and the Advising and Success Center to prevent them from getting dismissed from their courses.

C. Students with Poor

coursework Students who attain less than 30% from each course assessment in one or two courses, are required to be supervised by the advisors and the Advising and Success Center to help them absorb the maximum amount of knowledge out of the registered courses via support classes, to ensure that they meet the expected learning outcomes.

Academic Departments

College Deans in coordination with Chair of Departments/Program Directors shall provide oversight on of departmental and program advising activities. Each academic department shall prepare advising plan for students in their major, such plan shall include a clear statement of which faculty members in the department are responsible for the academic advising, based upon which criteria were those faculty members selected, how the department will ensure accessibility of advising for students, and what kind of materials will be used during the advising process this includes but not limited to: orientation handbook, prerequisites for registration and progress

checklist. Each department shall include in its plan the procedure of evaluating the effectiveness of the departmental advising.

Students with Disabilities

Advisors assist students with disabilities in taking charge of their education and becoming actively involved on campus in student clubs, community service opportunities, and other activities that students without disabilities can participate in. Advisors are responsible for assisting students with disabilities in overcoming obstacles and taking advantage of available opportunities.

Effectiveness of Advising Services

The University assesses the effectiveness of academic advising process to promote positive change in the advising performance which ultimately improves the quality of advising received by students. Advising process assessment is performed in quantitatively and qualitative methods via collecting input from key stakeholders, and via analyzing the student academic success.

Advising Ethical Considerations (for Academic and Staff Advisors)

Academic advisors are expected to inspire students to achieve their academic goals and objectives in an educational context, Furthermore, advisors are expected to seek to enhance the students learning whenever possible, while uphold the advising responsibilities to exhibit respect and dignity for students and value themselves as exemplary scholars in terms of ethical practices in their disciplines. The University defines ideals as fundamental statements for ethical advising. These ethical considerations are adopted from the National Academic Advising Association (NACADA).

1) Treat Students Equitably

Advisors should avoid favoring students among others, exerting more effort on behalf of those whom they like more. All the students are equally entitled to advising services. However, treating students equitably does not imply treating them the same. Advisors should acknowledge that students are all different and should address their different needs, and therefore, they should seek to enhance the students learning and improve academic achievement whenever possible.

2) Enhance the student ability to make autonomous decisions

Advisors should promote student autonomy as part of perceiving the student as an independent individual with a purpose and goals. Advisors should refrain from making decisions for students or pressuring them to take desired actions. They should instead guide and inform students to adhere to the academic program's study plan, course prerequisites, admission and graduation requirements, and University policies. Advisors are expected to assist students in making informed decisions.

3) Respect the confidentiality of communication with the student

The American University in the Emirates adopts FERPA in prohibiting the unauthorized release of confidential information about students. Advisors have an obligation to maintain the confidentiality of the advising process interactions. However, for a legitimate educational interest, advisors may share student information, concerns, circumstances (without student consent) with other University Officials if the advisor needs to share an education record in order to fulfill his or her professional responsibility. Please see Student Privacy and Record Policy.

4) Support the institution's educational philosophy and policies

By accepting employment with the University, advisors should respect the institution's education philosophy and its policies implicitly and explicitly. If the advisors, for instance disagree with the graduation requirements or with the course prerequisite or with any educational policy, the

advisor can discuss this matter in its appropriate forum that exists for that purpose. Students should receive an advising service but not a personal opinion on educational policies and procedures.

5) Trustworthiness of Academic Advising

Advisors should be aware of any behavior that undercuts the trustworthiness of the advising process, such as:

- a) Any "conflict of interest" incident that arises in situations where personal benefit or other considerations affects advisors' professional judgment in exercising responsibility in their duties. Please see Conflict of Interest Policy
- b) Involving students in the advisor's personal problems, or any controversial matter which has no relation to advising process (personal opinions regarding faiths, UAE values, or any other unrelated matter). Advisors should maintain educational and academic context.
- c) Expressing to students any negative opinion about faculty or staff member at the institution and to avoid confirming student gossips about a particular individual.

8.9 Nepotism Policy

The American University in the Emirates strives to be a family-friendly workplace and is committed to creating an environment where community members work together to improve the services of the University. The University encourage and accept referral from our employees to recommend friends and relatives and may employ family members as long as it does not cause any conflict or favoritism.

Definitions

"Immediate family" or "Relative" is defined as any person who has a marriage or blood relation up to 3rd degree with current University employee such as:

- Parents
- Stepparents
- Grandparents
- In-laws
- Spouses or domestic partners
- Children, Stepchildren or Adoptive children
- Grandchildren
- Siblings, uncles, aunts, nieces and nephews.

The University permits hiring of relatives in academic and administrative positions. However, relatives shall not be in a position that has an influence over another's employment, promotion, transfer, or any other supervisory consideration and accordingly, no employee of the University may be in the direct supervision of one's relative.

Hiring of Relatives

Hiring of relative should follow strict hiring procedure and is based solely on skills, experience and profile required for the position. The University will make appropriate decision in the hiring of relatives. Furthermore, Relative Employees cannot be part of a hiring committee when the family member is considered for the position.

Exceptions

Immediate relatives or family members of current employees shall not be employed within the same department unless an approval is obtained from the appropriate Vice President and after consultation with the Director of Human Resources.

Employees' Responsibility

Relative employees are expected to be aware of their professional responsibilities and to avoid any kind of conflict of interest, favoritism, or partiality. In doubt, the Human Resource Department should direct the required action to be executed by another Senior Member of the University.

Relative employees should not seek favorable treatment for their working relative on duty. The Institution's policies apply equally to all staff regardless of their relationship with other University members.

An employee must not use his/her position to influence an employment action of a relative. Furthermore, an employee must not use his/her position to influence an employment action of non-relative if such action would benefit one's relative.

8.10 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. If it is not resolved, the case is escalated to official authorities and the authorized attorney office represents the University and handles the legal procedures.

9 Faculty Appointment

The University appoints adequate, diversified, and qualified faculty members including department chairs and program directors that are competent in their fields, with appropriate research records and work experience to ensure suitable faculty assignment based on the field of the specialization and at the level of instructions that fulfills the academic departments' goals and University mission. The policy defines the faculty recruitment and appointment framework that adopts careful review of the credentials and follows the principles of integrity and equal opportunities.

Definitions

Department Chair and Program Director constitute the academic leadership of an academic department (academic department consists of one or more academic programs). Department Chair and Program Director report to the College dean. AUE appoints department chairs for academic department for undergraduate academic programs and appoints program directors for academic departments for graduate academic programs.

Policy Scope

This policy outlines the appointing of full-time department chairs, program directors and full-time, visiting, and part-time faculty members through three main phases recruitment, appointment, and onboarding.

Statement

The University's goal is to attract, appoint and retain competent diverse faculty members dedicated to teaching, learning, research, and scholarly services that complement the efforts of academic departments and foster the achievement of the University mission.

Recruitment Process Phase

Recruitment is the first step to build a vibrant resource base, the recruitment process focuses on searching and attracting competent applicants to fill positions identified in the University Appointment Plan. It involves a systematic workflow of sourcing applicants through various strategies, objective screening and shortlisting through a unified rating-rubric that is built on the basis of the hiring position and the job requirements, collegial interviewing and nominating candidates. The recruitment process is driven by ethical considerations, respect for the privacy of the applicant and adherence for equal opportunities.

Recruitment Ethical Consideration

Committee members participating in the recruitment and selection process with previous or current knowledge of the applicant applying for a position, shall report the relationship to the search committee chair to avoid any conflict of interest before the selection process starts. Furthermore, the Committee members adopts careful review of the credentials and follows the principles of integrity and equal opportunities.

Confidentiality

Committee members participating in the recruitment and selection process adheres to the confidentiality of applicant records, interview information, and committee's feedback and comments, applicant privacy must be respected informal and informal meetings and conversations. Recruitment information can be shared only with appointing involved members.

Retention of Application Records

The HR department retains search and selection process details, as well as information about successful and unsuccessful applicants for five years for future potential recruitment. The records include a resume, copy of enclosed documentation, and candidate communications.

Employee Referral

The University faculty and staff may refer or nominate prospective candidates for vacancy. Referred candidates are not guaranteed interviews and/or employment, only qualified candidates are considered and evaluated. Referred candidates do not have any fast-tracking or extra privileges over other applicants and meet the timelines and requirements of the recruitment process.

The Search Committee

The search committee should consist of at least three members, including the chair, the committee is formed of diverse members in terms of gender, age, academic rank, and race to provide a variety of views in selection process. The forming criteria of the search committee members concentrate on accepting the role and responsibilities of the committee, also members should have appropriate interpersonal skills and recruiting experience. If there are no appropriate members in the same department or college, members can be named from other departments or colleges. Furthermore, members of the search committee should be prepared to validate faculty credentials and adopt the principles of integrity and equality of opportunity. The recruiting academic department in coordination with the college dean and the VPAA are responsible to review and approve the search committee formation.

Length and Types of Appointment

Full-Time Faculty Appointment

A full-time faculty member is defined as a faculty member appointed for maximum of three years and expected to fulfill a faculty member's roles and responsibilities as specified in the contract and Faculty Role Policy. A full-time appointment is associated with the beginning of an academic year and includes a probation period stipulated in the contract. Full-time faculty appointment articulates the primary appointment and may include one or more secondary appointments. Full time faculty members may be appointed to the academic rank of Instructor, Assistant Professor, Associate Professor, or Full Professor.

A. Primary Appointment

The primary faculty appointment is associated with a particular college and department which has the primary academic affiliation. Recommendations for appointment, evaluation, promotion, termination, leaves, and other actions pertaining to the faculty, are issued by the college and department of the primary department.

B. Secondary (Joint) Appointment

Secondary faculty appointment allows another college or department to share a full-time faculty member to contribute to secondary college or department within the stipulated workload. The primary college and department maintain the full-time faculty member supervision, performance evaluation, and promotion. The length of the secondary appointment depends on the coordination between the affiliated college and the secondary college based on the demand, furthermore, the continuation of the secondary appointments depends on the primary appointment of the affiliated college and department. A letter of secondary appointment is issued and sent to the faculty

member outlining the expected length of the secondary appointment. A copy of the issued letter of secondary appointment is recorded in the faculty member's file.

Temporary Appointment

Temporary faculty members appointment is contingent upon the endeavor of teaching or other contractual responsibilities within an academic unit for a temporary basis for a fixed duration of maximum one academic year. Appointment decisions of temporary faculty member are made on a semester-to-semester basis. Temporary faculty members qualification requirements are similar to full time faculty members (please see Faculty Qualifications Policy). Appointments are made after verifying that the candidate's prior academic rank is comparable to the University standard academic rank (Instructor, Assistant Professor, Associate Professor, or Full Professor). Temporary faculty members are not eligible for academic promotion.

a. Visiting Faculty Appointment

A visiting faculty appointment is defined as a fixed-term appointment for a maximum of one academic year (full-time equivalent). A visiting faculty member is expected to fulfill the faculty role and responsibility, as outlined in the Faculty Role Policy. Visiting faculty members can be appointed at any time during the academic year.

b. Part-time Faculty Appointment

Part-Time faculty appointments are defined as temporary appointments for a limited period of time; in general, for one semester, part-time faculty members are assigned mainly to carry out teaching assignments within their field of specialization. The total number of part-time faculty member headcounts cannot exceed 25% in a given educational program.

Part-timers are required to fulfill their position and responsibilities as stipulated in their contract; to meet teaching contact hours, to comply with in-campus office hours, to attend examination periods, and to complete the course-file processes and other necessary reports. Part-time faculty appointments consider similar qualifications requirements for full-time and visiting faculty members. The appointment of part-time faculty members may be disengaged at any time, with or without notice.

Qualified Professional Staff Appointment

Qualified Professional Staff holding the required qualification and experience in their field are eligible to teach as a part time faculty for a maximum of 6 credit hours per semester. Such an appointment must be approved by their respective division head, and the department chair and must not conflict with their regular working hours.

Department Chair and Program Director Appointment

Department chair/Program director is appointed from the existing faculty of the College. When recruiting and appointing a new department chair/program director, the college follows its standard procedure for recruiting new faculty members.

Consideration is given to the following factors when appointing Department chair/Program director positions:

- a. Only full-time faculty members are permitted to serve as Department chair/Program director.
- b. Academic rank and experience. In general, graduate academic programs prefer to appoint a minimum of associate professor; however, the emphasis of the academic rank in graduate programs consideration in any given situation may vary based on factors including the priorities of the academic department, the preferences of the pool of potential faculty members of the academic program, and the College.

Appointment of Acting Department Chair / Program Director

If a department chair/program director is granted a leave (of any type), the College appoints an acting chair/director to serve in their behalf for up to one regular semester.

Faculty Orientation and Onboarding

All AUE faculty should receive an Induction in the first week of their joining date. The Human Resources department will arrange the schedule of the induction.

Prior to the start of the semester, All new full-time faculty members should receive an orientation, including human resources orientation, information technology and software orientation, academic orientation, research and publications orientation, institutional effectiveness orientation, library orientation, student services and academic support orientation, health and safety orientation. All faculty should have an onboarding plan in place and should be assigned a mentor, which will be arranged by the department chair, and during this onboarding period, the faculty member should receive a college orientation conducted by the department chair.

Probationary Period

The first four to six months of service is considered a probationary period. The probationary period shall start from the official joining date. 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. 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.

Faculty Appointment Procedure

Faculty Appointment Plan

Department chairs and program directors initiate and collaborate with their college deans to develop a Faculty Appointment Plan, the plan defines vacancies and new positions emerging from analyzing the next academic year's offer against faculty workload, new programs offering, and reflection of the potential growth of the student body in each educational program. The plan sets out the engagement terms, permanent appointment-full time faculty, fixed term appointment visiting faculty or temporary appointment-part time faculty. Furthermore, the plan determines the preferable academic rank required based on the educational programs and the level of instructions whether undergraduate or graduate.

Recruitment Timelines

The Faculty Recruitment Committee defines the main timelines and primary milestones for the search committees. The recruitment milestones include screening phase, interviewing phase, submission of required credentials and official documentation phase, offering phase, and appointment phase. Colleges' search committees shall follow the recruitment timeline and primary milestone.

Faculty Appointment Approval

All appointment requests in Faculty Appointment Plan are submitted to the Faculty Recruitment Standing Committee for review and endorsement prior the Provost approval. The Faculty Recruitment Committee is an institution-wide standing committee reports to the Provost Office, aims to streamline the University selection and appointment process of faculty members, liaise with colleges' search committees to verify the appointment requests, and guide identifying the suitable profiles in terms of research record, academic rank, specialization, teaching experience,

professional experience. The Committee sets the institution-wide appointment budgets and guide the HR department to activate recruitment channels and sourcing strategies.

Recruitment Process Phase

Recruitment is first step to build a vibrant resource base, the recruitment process focuses on searching and attracting competent applicants to fill positions identified in the University Appointment Plan. It involves a systematic workflow of sourcing applicants through various strategies, objective screening and shortlisting through a unified rating-rubric that is built on the basis of the hiring position and the job requirements, collegial interviewing and nominating candidates. The recruitment process is driven by ethical considerations, respect for the privacy of the applicant and adherence for equal opportunities.

Screening and Selection process

The search committees in coordination with the HR department shall determine the workflow by which candidates will be progressed to the next stage of recruitment process. Furthermore, an applicant rating-rubric should be followed by the selection committee to impartially screen and shortlist applications for purposeful selection and recruitment strategy. On behalf of the University, the HR department manages and facilitates the communication with candidates throughout the recruitment and appointment process.

Interview Candidates

To ensure coherent selection and recruitment process, it is essential that search committee members conduct the interviews. All candidates must be treated with collegiality and respect. Interviewers should grant the candidate the majority of the interview time to demonstrate needed capabilities based on deliberated job-related questions intended to disclose competencies not seen in the resume.

Appointment Recommendation

After interviews, the search committee will meet as early as possible to discuss all the qualities and shortcomings of each finalist interviewed. The search committee members determine the final candidates based on the position criteria. When a consensus is reached, the search committee shall notify the hiring college dean of their decision.

Preliminary Offer Letter

After the hiring college dean approval for the appointment recommendation, the HR department sends preliminary offer letter to the candidate, the offer letter defines the terms and conditions of the employment, including their job start date, salary, and benefits.

Unsuccessful Applicants

Unsuccessful applicants shall be informed immediately after the successful candidate has formally completed the appointment process.

Appointment Process Phase

After completing the recruitment process, appointment process must be made in accordance with the staff qualifications and credentials, the guidelines for documentation and attestation must be followed and the records must be included in the application file of candidate. Upon successful submission of credentials and attested documentation, HR department sends the employment contract to the candidate for approval of appointment.

Onboarding Process Phase

The onboarding process helps faculty members develop an awareness of their job role and institution's expectations and improve the emotional and social transition to gain overall working environment comfort. The onboarding process is a critical phase that guides new joining faculty members (full-time, visiting, and part-time) with institution characteristics, qualities, and culture to familiarize them through long-term ongoing transition activities, which will accelerate adjustment to the new workplace, boost productivity and improve retention. Through the onboarding process, the University enables faculty members to develop an awareness of their job role and department's expectations and aid the emotional and social transition to gain overall working environment comfort.

Prior to the onboarding of newly appointed faculty members, pre-boarding activities are arranged from various sources, setting up the office, installing equipment, and regularly sending noteworthy information, including the university's prominent policies, campus news, and city guides to appointed faculty before joining.

The onboarding process starts when newly appointed faculty members join, and it consists of University introduction and orientation, culture engagement activities, base college and department collegial induction, and mentor assignment.

New Appointed Faculty Orientation

In coordination with the VPAA's Office, hiring colleges and the HR department facilitate a one week of intensive orientation to the newly appointed full-time, visiting, and part-time faculty members prior to the beginning of the academic year. The orientation aims to empower faculty to adapt to the Institutional environment, building awareness of the University's mission and core values, welcoming and promoting communication among the newly appointed and existing faculty, as well as contributing to effective and productive teaching and learning practices. The orientation covers additional supporting areas such as health and safety, library services, and government-related assistance services.

Faculty Mentoring

Mentors act as collaborative guides to the institution and its culture; they help newly joined faculty members to adapt to formal and informal department, college, and University norms. Furthermore, the role of the mentor is to enable faculty members to align and extend their instructional approaches to meet the department's expectations.

Appointment of Chair of Department\Program Director

The appointment of department chairs and program directors is based on the nomination of an existing academic program faculty member. After deliberation between the College Dean and educational program faculty members, the College Dean presents the recommended department chair or program director nominee name and resume to the Academic Council for approval. Upon the approval of the Academic Council, the Vice President for Academic Affairs Office sends the appointment letter to the appointed Chair or program director including the duties and job responsibilities.

Re-appointment of Chair of Department\Program Director

Reappointment of department chairs and program directors is based on satisfactory annual performance evaluation, the recommendation of the college dean, and Academic Council approval.

Chair of Department\Program Director Resignation or Termination

A Department Chair/Program Director may resign from the position, or the College Dean may relieve him/her of his/her designation for performance-related or other unacceptable grounds.

Resignation or termination from the director/chair position does not affect the faculty appointment. The termination of a department chair/program director is not subject to grievance unless the ground for termination is employment dismissal.

Interim or Acting Academic Administrator Appointment

In circumstances preventing the appointment of a department chair/program director, or if a department chair/program director is granted a leave (of any type), the Academic Council may appoint an Acting or Interim department chair/program director to fulfill the same job responsibilities and be evaluated based on regular department chair or program director performance criteria.

The eligibility criteria for appointing an Acting or Interim department chair or program director are similar, but it could include appointment from outside the appointing academic department.

The College appoints an acting department chair/program director to serve for up to one regular semester. As an exception, the extension of an interim or acting appointment requires approval from appropriate constituencies, Academic Council and University Council.

10 Faculty Ranks

The faculty ranks at the University are Instructor, Assistant Professor, Associate Professor, and Professor. Full-Time Faculty and Visiting Faculty member are appointed at the Academic Rank equivalent to the prior rank earned at the time of appointment or with a promotion and adequate justification.

Instructor

Appointment at the rank of Instructor requires at least a Master's degree with a major in the discipline taught, and one of the following:

- a. five years of teaching experience in the discipline;
- b. a combination of five years of experience in teaching and other employment-related to the field;
- c. the equivalent of eighteen-semester credits of graduate study in the field beyond the Master's degree;
- d. an internationally recognized professional credential (such as certification as a public accountant);

Assistant Professor

Appointment at the rank of Assistant Professor requires a terminal degree in the area of specialization.

Associate Professor

Appointment at the rank of Associate Professor requires a terminal degree in the area of specialization and a minimum of four years' teaching and research experience in higher education in their field of specialization.

Full Professor

Appointment at the rank of Full Professor requires a terminal degree in the area of specialization and a minimum of eight years' teaching and research experience in higher education in their field of specialization.

11 Academic Administrators Appointment

The University selects, appoints, and retains academic administrators through clear appointment criteria. Academic Administrators are primarily liable for administrative duties of serving the best interests of their academic department, students, and the achievement of the Institutional Mission. A full-time academic administrator member is appointed for maximum of three years and expected to fulfill their responsibilities as specified in the contract and their job description. A full-time appointment for academic administrator is preferred to be associated with the beginning of an academic year and includes a probation period stipulated in the contract.

Statement

The University selects, appoints, and retains academic administrators through clear appointment criteria. Academic Administrators are primarily liable for administrative duties of serving the best interests of their academic department, students, and the achievement of the Institutional Mission.

Recruitment Process Phase

Recruitment is first step to build a vibrant resource base, the recruitment process focuses on searching and attracting competent applicants to fill positions identified in the University Appointment Plan. It involves a systematic workflow of sourcing applicants through various strategies, objective screening and shortlisting through a unified rating-rubric that is built on the basis of the hiring position and the job requirements, collegial interviewing and nominating candidates. The recruitment process is driven by ethical considerations, respect for the privacy of the applicant and adherence for equal opportunities.

Recruitment Ethical Consideration

Committee members participating in the recruitment and selection process with previous or current knowledge of the applicant applying for a position, shall report the relationship to the search committee chair to avoid any conflict of interest before the selection process starts. Furthermore, the Committee members adopts careful review of the credentials and follows the principles of integrity and equal opportunities.

Confidentiality

Committee members participating in the recruitment and selection process adheres to the confidentiality of applicant records, interview information, and committee's feedback and comments, applicant privacy must be respected informal and informal meetings and conversations. Recruitment information can be shared only with appointing involved members.

Retention of Application Records

The HR department retains search and selection process details, as well as information about successful and unsuccessful applicants for five years for future potential recruitment. The records include a resume, copy of enclosed documentation, and candidate communications.

Employee Referral

The University faculty and staff may refer or nominate prospective candidates for vacancy. Referred candidates are not guaranteed interviews and/or employment, only qualified candidates are considered and evaluated. Referred candidates do not have any fast-tracking or extra privileges over other applicants and meet the timelines and requirements of the recruitment process.

University Recruitment Committee

The Standing Committee scope is to facilitate academic department recruitment process in selecting and hiring the competent academic staff. The committee coordinates with college deans,

and college-level search committees to identify open jobs, the required applicant profile, and other qualifications, including research profile, rank, area of expertise, teaching experience, and professional experience. The committee oversees the university overall recruitment process as described in the procedure of this policy and ensures that the recruitment plan meets all academic and financial requirements.

Length and Types of Appointment

Full-Time Appointment

A full-time academic administrator member is appointed for maximum of three years and expected to fulfill their responsibilities as specified in the contract and their job description. A full-time appointment for academic administrator is preferred to be associated with the beginning of an academic year and includes a probation period stipulated in the contract.

12 Faculty Qualification

To ensure recruiting and retaining credentials and qualifications of all faculty members, whether full-time, visiting and part-time, the University employs competent, diversified, and sufficient number of faculty members with appropriate credentials and qualifications in line with the accrediting bodies locally and internationally for teaching at the appropriate level and field. The policy highlights the faculty credentialing cycle and the roles and responsibilities of each faculty, academic administrative, academic affairs, and institution effectiveness to ensure that appropriate credentials and qualifications are appointed and assigned to teaching, that are in compliance with the accrediting bodies locally and regionally. Additionally, the policy outlines the University's recognition in which faculty are classified, according to the nature of their initial academic preparation, and professional engagement activities.

Statement

The University recruits and retains qualified and competent faculty members to achieve the Institutional Mission and the Academic Department Goals. When making recruiting decisions and teaching assignments, the University determines the highest earned degree in the teaching discipline (or closely related discipline) as a primary consideration. Additionally, the University also considers qualifications other than academic credentials that encompass active research and scholarly activities, professional experience and development, awards and recognition, or a combination of academic and other credentials, as outlined in the Faculty Credentialing Manual.

Faculty Credentialing Documentation

Official degrees, transcripts, resumes, and other documentation are required for all faculty members to develop their course credentials. Faculty members will not be approved to teach prior to the receipt of the required documentation. Teaching assignments' records of all faculty members must be validated prior the first day of classes.

Provision of Credential Information

Deans, Department Chairs, Program Chairs, and Program Directors identify and review the credential justification in the database and provide any additional comments to endorse credentials.

Credential Database

The University possesses a systematic credential platform to document and review the faculty's academic and other credentials for each teaching assignment. It demonstrates the courses that faculty members can teach along with appropriate justifications and series of approvals. Faculty and reviewers may include further comments and explanations via the credentialing database to support the provided justification.

Faculty Roster

Upon the Institutional Effectiveness Department verification of the faculty credentialing process in accordance with CAA and SACSCOC standards and guidelines, faculty roster is generated for each semester reporting all faculty members qualifications and credentials for full-time, part-time, and visiting who are teaching credit-bearing courses.

Academic Qualification

The University employs the following credential that is in compliance with the Commission for Academic Accreditation (CAA) Standards.

- A. Faculty teaching **undergraduate-related remedial courses**: a minimum of a baccalaureate degree in a discipline related to the subject taught.

- B. Faculty teaching **general education courses** at the undergraduate level: doctorate or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (a minimum of 18 graduate semester hours in the teaching discipline).
- C. Faculty teaching courses in **baccalaureate degree programs**: a terminal degree or equivalent in the teaching discipline, usually a doctorate or equivalent.
- D. Faculty members who instruct in **graduate programs**: a relevant specialist terminal degree earned from an internationally recognized institution of higher education.
- E. **Graduate teaching assistants**: master's in the teaching discipline or 18 graduate semester hours in the teaching discipline, direct supervision by a faculty member experienced in the teaching discipline, regular in-service training, and planned and periodic evaluations.

Qualifications Other Than Academic Credentials

If the aforementioned academic qualifications are not met, alternative documentations of other credentials may be deemed. The Academic Department and Vice President for Academic Affairs shall provide justification on the faculty member's teaching assignment according to the combination of academic credentials and other credentials. The other non-academic qualifications considered in the faculty credentialing are as listed below.

Research and Scholarly Activities

Faculty members may provide records of relevant active engagement in research and scholarly activities in the field of the assigned course, such as:

- Abstracts of published papers from articles or proceedings,
- Proof of book publication, including thorough reviewing process and press,
- Copies of published reviews of an exhibition or performance,
- Copies of book reviews published in scholarly journals
- Other scholarly activities

Professional Certificates

A terminal degree or equivalent with an internationally recognized professional certificate relevant to the discipline may be submitted with adequate justification to demonstrate the required qualification for the teaching assignment.

Special Training

Significant training certificates from well recognized organizations that are relevant to the discipline and reflect the competencies required to teach the assigned courses may be considered based on the evidence provided and reviewers' approval.

Teaching and/or Work Experience

Significant evidence of teaching and/or professional experience in the field relevant to the discipline could be provided with an adequate justification by the faculty member for demonstrating the required qualification for the teaching assignment. Acceptable evidence includes:

- Faculty resume highlighting the teaching and/or professional experiences and other documentation that confirm the relevant position held.
- Rationale illustrating how the teaching and/or professional experience is relevant to the assigned course and its learning outcomes.

Awards and Honors

Prominent regional and national awards attained by faculty members for a published work or service to discipline may be presented with an adequate justification to demonstrate the relevancy of the qualification with the teaching assignment.

Faculty Classification

In addition to the faculty credentialing, the University also places its COBA faculty into four distinct classifications; Scholarly Academics, Practice Academics, Scholarly Practitioners, and Instructional Practitioners, that are significantly based on their academic and/or professional engagement activities that supports the Institutional Mission.

Scholarly Academics (SA):

Faculty members who obtained their research doctorates or equivalent in the last five years from the date of the awarded degree are classified as, Scholarly Academic faculty members.

In order to maintain the Scholarly Academics status upon appointment, faculty members are required to consistently demonstrate significant scholarly activities over a five-year period, as outlined below.

- Publication of two Peer Reviewed Journal articles or other significant scholarly contributions published by reputable publishers, within the five-year rolling period.
- In addition, faculty members may undertake a variety of academic engagement activities to support maintenance of SA status.

Practice Academics (PA):

Faculty members who have expanded their initial preparation as academic scholars with activities that demonstrate an ongoing engagement with business and/or the non-profit community, including social entrepreneurial organizations and other community related agencies, are classified as Practice Academics.

Faculty may pursue an assortment of scholarly and/or professional engagement activities for sustaining their PA status in at least three of the following categories within the five-year period:

- Consulting activities that are material in terms of time and substance
- Faculty internships
- Development and presentation of executive education programs
- Sustained professional work supporting qualified status
- Significant participation in business professional associations, professional standard-setting bodies, or policymaking bodies
- Practice-oriented intellectual contributions, as detailed in standard 8
- Relevant, active service on boards of directors
- Documented continuing professional education experiences
- Participation in professional events that focus on the practice of business, management, and related issues
- Participation in other activities that place faculty in direct engagement with business or other organizational leaders

Scholarly Practitioners (SP)

Scholarly Practitioners status is granted to faculty who expand their experience with engagement activities including **significant scholarly activities in the teaching field**. To sustain Scholarly Practitioners status, faculty members must demonstrate involvement in a minimum of the two following categories of practice-oriented scholarship within the five-years period:

- Relevant scholarship outcomes, such as the publication of articles or conference presentations and papers, book chapters, textbooks, similar contributions.

- Relevant, active editorships with academic, professional, or other business/management publications.
- Service on editorial boards or committees.
- Validation of SP status through leadership positions in recognized academic societies, research awards, academic fellow status, invite presentations, etc.
- Development and presentation of continuing professional education activities or executive education programs.
- Substantive roles and participation in academic associations.

Instructional Practitioners (IP)

Faculty members who have recent and significant professional experience that is relevant to the teaching field are classified as Instructional Practitioners (IP).

For sustaining the Instructional Practitioners status, faculty members must significantly demonstrate a minimum of two of the following categories of professional engagement activities within five years period:

- Consulting activities that are material in terms of time and substance
- Faculty internships
- Development and presentation of executive education programs
- Sustained professional work supporting IP status
- Significant participation in business professional associations, professional standard-setting bodies, or policymaking bodies
- Relevant, active service on boards of directors
- Documented continuing professional education experiences
- Documented professional certifications in the area of teaching
- Participation in professional events that focus on the practice of business, management, and related issues
- Participation in other activities that place faculty in direct contact with business and other organizational leaders

Other (Additional Faculty)

Faculty members whose credentials do not meet the criteria for SA, PA, SP, or IP status, are classified as "Other". The number of these faculty members may not exceed 10% of faculty resources specifically in the College of Business Administration/ at the discipline.

Faculty Credentialing Review Process

Faculty Members

It is the responsibility of full-time, visiting, and part-time faculty members and academic administrators to provide evidence of teaching credentials. These include the official transcript from internationally recognized institutions of higher education, attested credentials by authorities where the degrees were obtained, copies of licenses and certification, and certificates of recognition from the Ministry of Education in the United Arab Emirates.

In instances when these documents do not meet the standard credentialing requirements identified, additional documentation may be needed to establish adequate qualifications of faculty for the assigned courses.

Department Chair / Program Directors

It is the responsibility of the Department Chair or Program Director to provide compelling cases supporting each faculty appointment and teaching assignment and provide evidence supporting the qualifications of faculty members with respect to the content of each course taught.

Upon the faculty member's submission of the credential, the Chair or Director shall examine all prospective faculty member's credentials to verify they meet the required qualification in line with SACSCOC standard 6.2, CAA standards 5.4 and 5.5, and programmatic accreditation standards.

Approval is given by the Department Chair or Program Director if the faculty member clearly establishes adequate justification and evidence to teach the assigned courses, and the credential then is submitted to the College Dean for approval. If the justification provided by the faculty is not sufficient to comply with the SACSCOC standards, CAA standards, and programmatic accreditation standards, the Department Chair or Program Director may revert it to the faculty member.

Deans

Upon the approval of the Department Chair or the Program Director, the Dean reviews the credentials to ensure that all faculty teaching in the academic department meet the required qualification and submit them to the Vice President for Academic Affairs (VPAA) for approval. If the justification provided by the faculty is not sufficient to comply with the CAA, SACSCOC standards, and programmatic accreditation standards, the Dean shall revert it to the faculty member.

Vice President for Academic Affairs

The Vice President for Academic Affairs' responsibility is to review all prospective faculty member's credentials for ensuring that all teaching faculty meet the required qualification in line with CAA, SACSCOC Standards, and programmatic accreditation standards, and confirm in writing their eligibility to teach the courses assigned. In cases where the courses assigned do not match with the faculty qualifications, the Vice President for Academic Affairs provides guidance to faculty in developing additional justification to support the teaching assignment. Upon the Vice President for Academic Affairs' approval, the credentials are submitted to the Institutional Effectiveness Department for acceptance.

Institutional Effectiveness

The Institutional Effectiveness Department's role is to conduct ongoing review to ensure the faculty credential is in compliance with the CAA, SACSCOC standards and guidelines, and programmatic accreditation standards, by verifying the faculty member's degrees, the courses assigned to teach, as well as the additional justifications provided. In case of any missing supporting documentation or inadequate justification, the Institutional Effectiveness Department shall notify the Vice President for Academic Affairs. Upon completion of the faculty credentialing review cycle, the Institutional Effectiveness Department generates the faculty roster.

13 Contract Renewal

Policy Scope

The scope of the contract renewal policy applies on all full-time, visiting and part-time academic staff including academic administrators, as well as full-time and part-time administrative staff. However, this policy does not cover the President contract renewal (*please see President Evaluation Policy*). Also, the policy does not cover the graduate assistant appointment and renewal (*please see Graduate Assistant Policy*).

Policy Statement

Employment contract is signed for a time not to exceed (3) three years based on contract types (defined in this policy), and it is permitted, by mutual consent, to extend or renew the contract for once or more. In case of renewing or extending the contract, the new terms shall be considered an extension of the original terms.

Types of Contracts

1. **Academic Contracts** (Covers faculty members, program chairs and graduate program directors)
 - a. Full-time Contract: Academic staff with a full-time contract works for one employer (the University) and is obligated to operate the full ordinary working hours prescribed in the contract. A full-time appointment is associated with the beginning of an academic year and includes a probation period stipulated in the contract.
 - b. Visiting Contract: Academic staff with a visiting contract is defined as a fixed-term appointment for a minimum period of one semester and is expected to fulfill the faculty role and responsibility, as outlined in the Faculty Role Policy. Visiting faculty members can be appointed at any time during the academic year. The visiting appointment is not subject to a probationary period.
 - c. Part-time Contract: Part-Time faculty appointments are defined as temporary appointments for a limited period of time; in general, for one semester, part-time faculty members are assigned mainly to carry out teaching assignments within their field of specialization. The part-time contract may be terminated at any time, with or without notice. The part-time appointment is not subject to a probationary period.
2. **Academic Administrators Contracts** (Covers College Deans, Academic Vice Presidents, and Provost)

Full-time Contract: full-time Academic Administrators work for one employer (the University) and are obligated to operate the full ordinary working hours prescribed in the contract. A full-time Academic Administrators appointment is subject for probation period stipulated in the contract.

3. **Administrative Contracts** (Covers all administrative staff members, administrative Vice Presidents)
 - a. Full-time Contract: Administrative staff with a full-time contract works for one employer (the University) and is obligated to operate the full ordinary working hours prescribed in the contract. A full-time appointment is subject for probation period stipulated in the contract.
 - b. Part-time Contract: Part-Time administrative staff appointments are defined as temporary appointments for a limited period of time; The part-time contract may be terminated at any time, with or without notice. The part-time appointment is not subject to a probationary period.

Contract Renewal Conditions

- a. **Probationary Period:** During the probationary period (full-time contracts), the direct supervisor will suggest continuation of service if all success criteria requirements and all set objectives are met.
- b. **Annual Performance Evaluation:** The employee's performance is evaluated annually by the employee's supervisor. The direct supervisor proposes continuation of service upon satisfying all success criterion standards and achieving all set objectives.

Terminating the Contract

- a. **Probationary Period:** During the probationary period (full-time contracts), if the employee's performance demonstrates an inability or reluctance to satisfy job expectations, the direct supervisor will recommend contract termination.
- b. **Annual Performance Evaluation:** When the employee's performance is demonstrably inadequate. Employee has demonstrated an incapacity or unwillingness to meet or exceed expectations. The direct supervisor will recommend service termination.
- c. **Failure to Submit Recognition Degree:** Upon appointment, all full-time, visiting, and part-time employees are required to obtain a recognition letter issued by the Ministry of Education to affirm their highest degree is equivalent to the United Arab Emirates education system. In the event where the employee fails to obtain the recognition letter, the University terminates the employment contract.
- d. **Breaching/Violating the University Policies and Employment Contract:** The University has the right to terminate the Contract if the employee has breached the responsibilities or violated the terms mentioned in the employment contract, as well as university policies and procedures.

14 Faculty Retention Policy

The AUE recognizes that the ability to recruit and retain high caliber faculty and staff is institution academic strength; in that way, the University can maintain efficiency and minimal interruptions of its operations. Hence, the University shares the responsibility of attracting and retaining talented, skilled, and ambitious individuals. The purpose of this policy is to outline the institution's strategies to retain qualified and skilled employees.

The University is committed to retain the high competent faculty and staff through various institutional strategies that are developed based on best practices. The practices of the Retention Policy will apply to all positions, regardless of staff group or seniority.

Faculty Orientation and Onboarding

All AUE faculty should receive an Induction in the first week of their joining date. Attendance on Induction will be arranged at the same time as the formal offer of employment is made.

All faculty will attend the mandatory health and safety training. All faculty should have an onboarding plan in place and should be assigned a mentor, which will be arranged by their line manager. All new full-time faculty members should receive an orientation workshop prior to the start of the semester.

Rewards and Recognition

The University is committed to reward employees who are overachieving and go the extra mile as the AUE promotes a culture where good work done by employees is valued, and their immense efforts are recognized.

Appraisal

All staff shall be appraised annually. Appraisals give the opportunity to recognize and reward employees and to ensure they feel valued for the work that they do. Appraisals shall be part of regular open communication between supervisors and employees regarding job's expectations, performance objectives, performance standards, and personal goals.

Staff Professional Development

The University is committed to provide professional development opportunities and training programs to Faculty and professional staff, as it continues to not only be competent in their field of work but also ensures that all employees are up to date with the relevant knowledge and skills. For further information, please refer to Faculty and Staff Professional Development policies.

Staff Survey

AUE conducts a staff satisfaction survey on an annual basis. The results of the staff survey are analyzed to improve the areas of concern.

Staff Benefits

AUE provides its employees with additional benefits. For further information, please refer to the Compensation and Benefits Policy.

Flexible Working

AUE provides opportunities for employees to manage their work responsibilities by adjusting the working hours that suit the operation and special needs. An employee may request to change working hours with a reasonable justification related to health, transportation, family, or education purposes.

The employee must at all the time be accountable to complete the required working hours per week as per the employment contract or compensate them at the earliest.

Subject to the approval of the supervisor and within reason, employees are eligible to apply for a short leave at a maximum of 4 hours, once per month. The employee must have a good record of attendance, and excessive request might be rejected. This policy does not apply to employees with performance evaluation lower than 69%.

Remote Working

AUE allow in special circumstance employee to work remotely for a specific period of time, or a specific period of the day. Remote work can be granted in case the work cannot be delegated to someone else, and the work can be performed at the same level of expectation if carried out on-site or in case of an emergency situation where urgent tasks must be completed. Prior approval must be granted to such request and subject to the management decision on a case to case basis.

Exit Interview

In order to retain talent and reduce the turnover, The Human Resources Department conducts an exit interview for all resigning employees in order to understand the motive of their resignation, learn from the feedback, and identify areas for improvement. On some occasions, an Exit interview can be an opportunity to clear up the misunderstanding, eliminate the reason for resignation, and reinstate the employment relationship.

15 Compensation and Benefits

Scope of the Policy

All academic staff (full-time faculty members, department chairs, program directors, assistant to deans, associate deans, college deans, academic vice presidents, and the Provost) are included in this policy.

Statement

The University provides salaries and benefits that are responsive to market demands and are at a level that is at competitive to other similar institutions in the UAE. The University offers adequate salaries and benefits in order to attract and retain highly qualified academic staff and faculty members to support the University mission.

Salaries

Full-Time and Visiting Faculty

The University defines academic staff salary ranges and conditions of recruitment applicable at the University and applies a salary scale based on the criteria for each hiring level.

The Human Resources Department of the University ensures that the academic staff's payment is transferred to his/her bank account of his/her choice, as recorded by a monthly pay-slip and on a monthly basis.

As a requirement of recruitment, every academic staff shall work in one of the University's Colleges as determined by the University to meet the University's mission and requirements. Full-time academic staff salary is calculated based on his/her qualifications, academic rank, teaching experience, and any other relevant experience related to the Faculty Staff specialty. The University will follow a salary scale for each academic rank.

The academic staff salary breakdown is calculated as per the following:

- » Basic Salary (based on the qualification and the academic rank)
- » University Allowance
- » Special Allowance (based on the teaching experience and other relevant experience)
- » Accommodation Allowance (based on qualification and marital status)
- » Transportation Allowance
- » Position Allowance (in case of holding administrative position)

Part-Time Faculty

Part-time Faculty members receive their salaries based on his/her contractual teaching workloads, which are calculated on an hourly basis and at levels dependent on their final earned degree. Detailed schedules for payments will be made available via the Human Resource Department.

Housing

Housing allowance is one of the primary salary breakdown elements for all the permanent/full-time academic staff at the University. Housing allowance is provided based on the marital status and level of the earned degree.

Annual Air Travel Tickets Allowance

Academic Staff

All academic staff (except Vice Presidents) are entitled to receive cash in lieu of return economy class air travel tickets, based on annual updated rates of International Air Transport Association

(IATA), for themselves, spouse, and up to two children residing in the United Arab Emirates (18 years and below and are under the Faculty Staff sponsorship)-upon completion of each one year of continuous employment, to the capital of their country of origin, according to their citizenship passport used for visa stamping and subject to their presence in the United Arab Emirates.

Vice Presidents

Academic Vice Presidents are eligible to receive a cash in lieu of return Business Class air travel tickets, based on annual updated rates of International Air Transport Association IATA, for themselves, spouse and up to two children residing in the United Arab Emirates (18 years and below and are under his/her sponsorship) upon completion of each one year of continuous employment, to the capital of their country of origin, according to their citizenship passport used for visa stamping and subject to their presence in the United Arab Emirates.

Limitations

- » Where a spouse of any employee is not working elsewhere inside the UAE, a non-duplication form undertaking shall be duly filled and signed by the academic staff in order to cover the travel benefit provided to the HRD.
- » If the academic staff has been hired from outside UAE, he/she will be provided with a joining air travel ticket for him/her only, in addition to the annual air ticket allowance articulated herein.
- » If the academic staff has been hired from outside his country of origin, her/his annual leave air travel ticket shall be provided based on his/her country of origin.

Medical Health Insurance Allowance

All University Faculty staff within the UAE are provided with medical insurance and related plans. Faculty staff including, spouse and up to two children residing in the United Arab Emirates (18 years and below and are under the faculty staff sponsorship) are eligible for medical health insurance and related plan.

Limitation and Exclusion:

- » Academic staff may, at his/her own expense, add additional medical health coverage, such as global coverage.
- » The medical health insurance of the other family members of the academic staff shall be prepared and provided after the completion of the residency visa formalities and due process.
- » Where the academic staff medical health insurance company imposes an extra policy premium, in cases where the academic staff has exceeded an age of 65 years or any other reason, the latter shall pay the difference on his own cost.
- » Where the University medical health insurance company imposes an extra policy premium, in cases where the academic staff has its spouse or any children with special needs or suffering from critical disease or any other specific reason, the latter shall pay the difference on his own cost.
- » Medical health insurance policy table of benefits and related plan, medical health insurance company, medical health insurance policy provider and Third-Party Administrator can be changed by the University at any time during the term of the medical health insurance policy or at the expiry date of said policy.
- » Where a spouse of any academic staff is not working elsewhere within inside the UAE, a non-duplication form undertaking shall be duly filled and signed by the spouse's employer academic staff in order to cover the medical health insurance benefit provided to the HRD.

Education Allowances

Faculty members are eligible for an educational allowance as stipulated in their employment contracts, subject to the following:

- » Children under their sponsorship and residing in the UAE with valid Passport and UAE residency
- » From (KG1) to (G12) but not exceeding 18 years old.
- » Children are studying in regular school in the United Arab Emirates. Home teaching of dependents shall not be a part of education allowance.
- » Registration and fees payment shall be subject to valid invoices that should be submitted to HRD.
- » Where a spouse of any academic staff is not working elsewhere within inside the UAE, a non-duplication form undertaking shall be duly filled and signed by the spouse's employer Faculty Staff in order to cover the education allowance benefit is to be provided to the HRD.

Overload for Teaching Faculty

In exceptional circumstances where teaching assignments in excess of the above requirements ("Overload") are inevitable, the overload is limited to one course of three credit hours per faculty member per year. 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 by the end of the academic year in which the overload is taught.

Overtime or additional duties shall not be considered as overload unless a prior written assignment specifying an overtime duty by the supervisor.

Summer Teaching

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

Academic Administrator Position Allowance

Academic staff with administrative positions (academic administrators) are eligible for position allowance to be paid monthly during the period of his/her appointment. Additionally, Academic Administrators are eligible for course release. Please check the Faculty workload policy for more details.

Increment and Reward

The University's scheme of increments and rewards aim to enhance Faculty Staff performance and recognition. Hence, funds are granted based on merit and significant achievement in teaching, research, service, and contribution to the University and its community.

Promotion Adjustment

Academic staff shall be eligible for any adjustments in the salary in accordance with the new position within the University salary structure upon receiving the letter of his/her promotion with effect from the following Academic Semester.

Repatriation

At the end of employment, all academic staff (if eligible) will receive a one-way air travel ticket to the Capital of the Country of Origin for self only in Economy Class and business class for vice presidents, subject to the presence in the UAE and completion of required clearance documents required by the competent authorities and the University.

Limitations

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

Death Indemnification

In the case of academic staff death during active service with the University in which such death results from a work-related injury or occupational disease, the family of the employee shall be entitled to compensation as per the applicable UAE Labor Law.

Disability Indemnification

In the event of academic staff total or partial disability resulting from work-associated injuries, the employee is entitled to damages and indemnity as per the applicable UAE Labor Law after the insurance company investigation (if required).

16 Leave Of Absence

Annual Leave

The University may determine the commencement date of the annual leave of each employee; the leave can be divided into two or more parts (depending on the line manager/supervisor of the Faculty Staff) to avoid any discontinuation of any of the University functions. The direct line manager/supervisor is responsible for planning the employee leaves in order to ensure that there is no contradiction regarding group of employees responsible for the same function having their annual leaves on the same time; the direct line manager/ supervisor should ensure the availability to provide the required services at any time in order to ensure the stability of the business of the University.

Faculty and Academic Staff Leaves

All academic staff (full-time faculty members, department chairs, program directors, assistant to deans, associate deans, college deans, vice presidents, and the provost) are entitled to a fully accrued eight calendar weeks of paid annual leave after successful completion of probationary period, 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, academic staff are eligible for all national and official holidays declared by the UAE government.

All academic staff will be required to take leave during summer and regular semesters breaks. academic staff who do not take leave must have work plans approved by their supervisor and vice president for academic affairs.

All academic staff must submit their annual leave requests on the portal as far in advance as possible.

- All academic staff will be required to take at least one week (7 days) leave during the fall break and at least one week (7 days) leave during the spring break
- All academic staff must apply for their annual leave in a block of 7 days. During the summer, academic staff must clear their leave balance prior to the new academic year while considering the resumption day must be at the beginning of the week. Subject to the approval of the supervisor and superiors, any leave beyond the accrual leaves days will be considered unpaid leave.

Administrative Staff Leaves

For every year of service, full-time employees with administrative non-academic contracts are entitled to annual leave as per the below:

- 2 days paid leave for every month if the number of days of service is equal to or more than 181 days up to 364 days.
- 30 days paid leave annually if the service is equal to or exceeds 365 days.
- At the end of the service, employees are entitled to an annual leave for the fraction of the last year he/she spent in service.
- Employees are not eligible for paid leave during the probationary period.
- The calculation of the number of days of service does not include any type of unpaid days or the days where the employee was suspended from work without pay
- Leave must be taken in blocks of 7 days. Days off, public holidays during the leave are part of the leave. Leave is calculated up to the day before the resumption day.

- Subject to the approval of the line manager/supervisors and superiors, any leave beyond the accrual leaves days will be considered unpaid leave.
- During a paid leave, employees' positions may not be filled except on a temporary basis (if required).

Leave Resumption

The resumption must be scheduled at the beginning of the week, where staff must work five consecutive days (public holidays included) after returning from leave.

The employee, who does not return directly to his work without a legitimate reason after the end of his leave, shall not be entitled to his salary for the absence period following the leave end.

Sick Leave

Employees (academic and administrative employees) are entitled to a paid sick leave due to illness. The employees must apply for sick leave within three days of his/her sickness and include an official sick leave document from a local medical center and attested by Dubai Health Authority (DHA).

The Employees are entitled to fifteen (15) days compensation for sick leave with full pay per year. If the Employees is still sick and he/she has already availed the 15 days sick leave with full pay, the employee is still entitled to thirty (30) days sick leave with half paid salary. In case the employee spent the thirty (30) days sick leave which is half paid salary, he/she is entitled to unpaid sick leave for forty five (45) days. Sick leave shall not exceed a period of ninety (90) days per year either consecutive or intermittent. Furthermore, sick leave shall not be accumulated or carried forward to the next year.

During probationary period staff members are not entitled to any paid sick leave. If the employee did not resume work after exceeding ninety (90) days sick leave, the University has the right to terminate the employment contract and pay the employee his/her end of services as per the UAE Labor Law. Employees are not eligible for sick leave during annual leave and until they have effectively resumed work on campus.

Business Leave

Business Leave might be approved and granted for employee to cover activities such attending conferences, seminars, Trainings, or other professional development workshops as part of the roles and responsibilities.

Business Leave might include activities that involves a regular work schedule outside of the UAE such as student recruitment related trips, outreach, accreditation, students overseas trips and expedition.

COVID-19

Employee tested positive for COVID-19 and unable to work from home, are required to apply for sick leave for the period of quarantine and until resumption to work.

Maternity Leave

All University Full-time female employees who are legally married should inform their direct line manager/supervisor and the Human Resources Department in writing immediately about their pregnancy in order for them to plan the maternity leave and the necessary replacement. Eligible full-time female employees are entitled to the following:

1. A maternity leave of (60) sixty days, according to the following:
 - The first (45) forty-five days with full wage; and
 - The following (15) fifteen days with half wage.
2. The female employee may, after using the maternity leave, be absent from work without a wage for a period not exceeding continuous or intermittent (45) forty-five days. If this absence is due to her sickness or her child's sickness resulting from pregnancy or childbirth, which does not allow her to return to her work. Such sickness shall be proven by a medical certificate issued by the medical entity (Dubai Health Authority). This period is not included within the service term, for which the female worker is entitled to end of service benefits or the period of contribution in the retirement scheme in accordance with the legislation in force in this regard.
3. The female worker shall be entitled to the maternity leave mentioned in point (1) if the delivery took place (6) six months or more after pregnancy, whether the fetus was born dead or alive and then died.
4. If the female employee gives birth to a sick child or a child of determination, whose health condition requires a constant companion, according to a medical report issued by the medical entity, she has the right to a leave of thirty (30) days with full pay starting after the end of the maternity leave and she the right to extend the leave for a period of (30) thirty days without pay.
5. The University shall grant the female employee a maternity leave upon her request at any time, starting from the last day of the month preceding immediately the month, in which she is expected to give birth, and this shall be proven by a certificate issued by the medical entity. (Dubai Health Authority)
6. Being on maternity leave or absent from work, as mentioned in this article, shall not prejudice the female worker's right to obtain the other leaves.
7. If the female employee works for another employer during the period of her leave authorized in this Article, the original employer may deprive her of her wages for the leave period or redeem what he has paid to her.
8. It is not permissible to terminate the service of the female worker or notify her of the same because of the pregnancy, having a maternity leave, or her absence from work in accordance with the provisions of this Article.
9. After returning from maternity leave and for a period of not more than (6) six months from the date of delivery, the female worker shall be entitled to one or two breaks per day to breastfeed her child, provided that the two breaks do not exceed an hour. Nursing break cannot be used at the beginning or the end of the daily working schedule.

Compensation Leave

Upon reasonable notice, supervisors or other appropriate University administrators may require employees in the event where circumstances require the full-time employee to work on holiday, day off, or while on vacation, the employee shall be compensated (day-for-day basis) with another day off. In addition, employees who are required to work more than 40 hours in a workweek, hour-for-hour compensatory leave can be used to reimburse overtime.

Supervisors or other appropriate University administrators may require employees to use any part of accrued overtime compensatory leave at any time deemed advisable. Employees who have accrued compensatory leave may be required to use such leave before using vacation leave.

Pilgrimage (Hajj) Leave

A special leave without pay may be granted for the performance of pilgrimage (Hajj) to the employee once throughout his/her service and shall not be counted among other leaves and shall not exceed thirty (30) days.

Sabbatical Leave

Full time faculty members may be granted for sabbatical leave for a maximum of one academic year for faculty member to advance skills and competencies in teaching and research, joining one of the top 500 institutions in the worlds (according to the QS Ranking) and subject to the completion of at least four (4) years of full-time service at AUE.

The Sabbatical leave is subject to previous permission, including but not limited to the hosting institution, the program's relevance, and the performance of the faculty.

Requests for sabbatical leave must be submitted at least one semester prior to the start of the leave. The sabbatical leave will be considered as unpaid leave; hence, it will not be factored into the end-of-service calculation, nor will the institution cover any expenditures linked to the sabbatical leave.

Emergency Leave

If the University recognizes that there is a specific list of circumstances when an employee needs to take a necessary emergency leave. Therefore, the emergency leave shall be approved only based on special and compelling circumstances. The emergency leave is only for employee emergency cases subject to the approval of the supervisor on emergency leave requests.

Length of Emergency Leave

Employees are allowed, based on this policy requirement, for a maximum of 5 unpaid full days of personal emergency leave every calendar year subject to the supervisor approval. There are a number of reasons for which emergency leave shall be considered as loss of pay or deducted from the available annual leave balance covered under this Policy which are:

Serious illness of an immediate family member: Serious illness or life-threatening illness or injury of immediate family members that requires full admission to a hospital outside the UAE. The University defines immediate family members as parents, spouse, children, brothers, and sisters.

Urgent matters: Urgent matters should be related to urgent documented cases outside UAE such as cases causing material, property, and money misfortune loss.

The decision to consider the availability of the employee where the urgent matter happened to avoid misfortune loss necessary is given only to the supervisor and his/her vice president. Any other matter will be considered urgent based on the supervisor and his/her superiors' opinion and decision.

Applying for Leave Procedure

Applying for Annual or unpaid Leave:

1. The employee submits the Leave request through the University Information System (UIS) and submits the necessary documents for approval.
2. Leave will be verified by the Human Resources Department to ensure compliance with the university policy.
3. The direct Supervisor will approve the Leave based on the requirement of the department and as per other university activities.
4. VPAFA will approve the leave based on the requirement for the university.
5. Upon resumption, the employee must apply for resumption to confirm they have resumed on the approved resumption day.
6. The Resumption will be verified by the Human Resources Department to confirm that the staff has effectively resumed.

Applying for Sick Leave:

1. The employee submits the sick leave request through the University Information System (UIS) and submits the necessary documents for approval.
2. Leave will be verified by the Human Resources Department to ensure the sick leave is approved by DHA and valid for the period applied.
3. Upon resumption, the employee must apply for resumption to confirm they have resumed on the approved resumption day.
4. The Resumption will be verified by the Human Resources Department to confirm that the staff has effectively resumed.

Applying for Business Leave:

1. The employee submits the Business Leave request through the University Information System (UIS) and submit the necessary documents for Business leave approval
2. Leave will be verified by the Human Resources Department to ensure compliance with the university policy and verify the submitted approval documents.
3. The direct Supervisor will approve the Leave.
4. VPAFA will approve the leave.
5. Upon resumption, the employee must apply for resumption to confirm they have resumed on the approved resumption day.
6. The Resumption will be verified by the Human Resources Department to confirm that the staff has effectively resumed.

Applying for Compensation Leave:

Pre-approval Procedure

1. The supervisor request approval from Vice President to request his team member to work on days off.
7. The Vice President approves the request.
8. The supervisor sends an email to the staff requesting to work on his/her scheduled off day.

Compensation Day Accrual Procedure

After the staff has worked on the day off

1. Supervisor sends the approval of the compensation leave by the Vice President to the Human Resources department
2. HRD will update the employee record once the approval is received from the respective approving offices.

Compensation Day Utilization Procedure

3. Applying for Leave using accrued compensation days
4. The Staff member apply for compensatory off from the system same as other leaves
9. HRD will verify the application in the system.
10. Supervisor will approve the leave in the system.
11. Final leave approval will be done by the VPAFA for Administrative.

17 Research Support

The University strives innovation in its teaching, learning, research, and service functions and aims to provide ongoing opportunities to develop its faculty members' research and scholarly capabilities. Hence, The University supports its faculty as researcher to accelerate and make a meaningful contribution to the quality of research. Research support services are offered to the full-time and visiting faculty as well as students under the supervision of faculty members in order to foster the knowledge creativity and to increase the number of publications of the faculty members in relevant research topics to the academic main disciplines.

Policy Statement

The University seeks to enhance the research and scholarly activities in the domains that are consistent with the University's research priorities to involve faculty members in various internal and external research support initiatives. The University allocates and budgets a sufficient percentage of its total operational expenditure annually to support faculty research, innovation, creative, and scholarly activities.

Research Responsibilities

The Division of Research is responsible to offer and encourage faculty members to participate in research events, research-related professional development, orientations, and research publication reflecting the University's commitment to research support in all elements outlined herein. The Division of Research is responsible for administering, overseeing, and assessing the implementation and achievements as per the University Research Strategy.

Research Support for Publication and Reward

The University supports its faculty members by covering expenditures associated with publishing in high-impact journals that are SCOPUS indexed. The provision of research support for faculty members' publication is projected based on the annual research plan submitted by the academic departments. Furthermore, the University provides annual research rewards for faculty members for their achievement on publications in SCOPUS indexed journals and other defined research scholarly activities.

Internal Research Support

The internal research initiatives are one of the university's research mechanisms of support that allows faculty members to apply for competitive research grants consistent with the University or educational program mission and goals. It is also supporting research case studies and projects that are related to the UAE or regional development. The University annually announces a cycle for competitive Internal Research Grant with deadlines for faculty members.

Course Release

The University supports faculty members with an active record of research and publication in order to concentrate their efforts on scholarly activities, especially grant-supported significant research, where an exceptionally appropriate piece of scholarly work requires a reduction in teaching workload to accomplish the sponsored scholarly activities. The course release guidelines, conditions, and limitations under which instructional course releases may be appropriate are outlined in the Course Release Policy.

External Research Funding

The Division of Research supports faculty members interested in applying for external funding from agencies, government, and industry. Research proposals should be developed according to the criteria of the funding program and the University policies. The external research funding guidelines, conditions, and eligibility are outlined in the External Research Funding Policy and Procedures.

Professional Development

The University is committed to providing professional development opportunities and training programs to faculty members relevant to their discipline, academic programs and institutional mission. The support includes learning professionalism and activities to broaden the scope of academic staff professional capabilities in relation to their specialization and responsibilities. The professional development guidelines, conditions, and eligibility are outlined in the Faculty Professional Development Policy.

Participation in Academic and Research Events

The University encourages and supports faculty member participation in academic and research events or nationally and internationally activities in various forms. The support is provided to the faculty members to participate in international scientific conferences, seminars, workshops, and scholarly activities relevant to institution research priorities. Such participation greatly influences disseminating knowledge and expanding the research collaboration with other experts.

Research Support Procedure

Guidelines and General Eligibility Requirements:

The submitted publication form must fulfil the following eligibility criteria:

- The applicant must have published their peer-reviewed journals, conference proceedings, article, book, patent, or other forms of scholarly output during employment and affiliation at AUE.
- Each full-time faculty member at AUE will be allocated a virtual amount in the currency of Emirati Dirhams in the sum of only 15,000. This amount could be allocated toward the following (3) activities below and requires official invoices to be presented and approved by the Dean of the college.
 - 1) Editorial services
 - 2) Conference attendance
 - 3) Professional Development
- Scholarly publications should be indexed in Scopus.

Research Publication Support Eligibility

The University funds the expenditures associated with the research publication with a maximum amount of 10,000 AED per academic year. As described below:

- The expenditures of a textbook, book chapter or monograph, peer-reviewed journals in the form of full paper, review, or note publications is funded by the University.
- Publications under "Letters to the Editor", "Editorial", or "Case-study report" do not qualify for research support.
- In the case that more than one author from AUE contributed to the submitted publications, the fund will be distributed according to the below table:

Co-author	60% for the first author 40% for the second author
Two co-authors	50% for the first author 30% for the second author 20% for the third author
Three co-authors	40% for the first author 30% for the second author 20% for the third author 10% for the fourth author
More than three co-authors	35% for the first author 25% for the second author 20% for the third author 20% is distributed among the other authors equally

In case the scholarly publication is an outcome of graduate student work and or thesis/dissertation or undergraduate senior project, students will be part of the scholarly work compensation.

Research Reward Procedure

The University provides annual research rewards for full-time faculty members for their achievement on publications in SCOPUS indexed journals and other defined research scholarly activities.

Type 1- Peer-Reviewed Journal Article Rewards:

The papers published in journals indexed in Scopus are rewarded according to the following table which reflects rewards relating to one peer-reviewed article. Impact factor is calculated according to Thomson Reuters (ISI).

No	Journals Field Impact Factor	Reward (AED)
1	Indexed papers in journals with no field impact factor or with Field Impact Factor of 0.1-0.99	1,000
2	Articles in journals with Field Impact Factor of 1.0 and above	2,000

Type 2 - Publishing a Textbook or Monograph:

A reward of 3,000 AED is granted for the publication of a monograph or textbook in recognized publishing houses, excluding editorial books.

Type 3 – Citation reference in Google Scholar (excluding self-citation):

A one-time reward will be extended for a given article published under AUE cited intensively (at least 10 times and 5 times for other disciplines – excluding self-citations), will be according to following table:

No	Number of Citation per article	Reward (AED)
1	10/15-24	500
2	25-50	750
3	More than 50	1000

Type 4 - Highly Cited Researcher:

A one-time reward for a researcher whose name is listed by the Institute for Scientific Information* (ISI) as a "highly-cited author". The value of this reward is 500 AED.

Type 5 - Patent:

A reward for filed patent in registered Patent Office through the University Patent Office is to be negotiated case by case. Regardless of the case, a minimum of 1000 AED will be rewarded.

18 Course Release Policy

Statement

Faculty members with active record of research and publication are able to request 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.

Eligibility for Course Release

Faculty members with active record of research and publication can submit the request for course-release for a maximum of one academic year to permit them to devote sufficient time to funded scholarly activities.

Responsibilities

- » Each department is responsible to review and handle the instructional course release requests received from the faculty members while considering balancing the department needs with individual needs. The Department Chair has the authority to determine if a faculty member is eligible for a course release and can approve or reject the course release requests taking into consideration the needs of the department.
- » College Deans in coordination with the provost office shall administer and monitor the Instruction Course Releases process.
- » Instructional course releases should not unfavorably impact the operations of the department and should not relieve the faculty member from other responsibilities to the College, this includes but not limited to advising, serving on committees, or participating in departmental business. Faculty members shall commit to be in residence and carry out their other duties during the period in which they have a course release.

19 Student Involvement in Research Policy

The University provides an opportunity for both undergraduate and graduate students to undertake a research experience with their faculty members via publishing joint paper(s) in referred journals and conferences. The purpose of this policy is to support student involvement in research and spread the awareness of research roles among the University community.

Graduate and undergraduate students should be and encouraged to take part in research practices and funded research projects, by collaborating with faculty members throughout the core courses such as but not limited to, Capstone Graduation course for undergraduates and Thesis for graduates.

Classroom Research

Involving research in the classroom gives the students an opportunity to practice numerous research methods such as observation, interview, and survey techniques, in addition to data analysis. Such projects usually will not lead to generalizable knowledge and does not require IRB Committee review furthermore; results attained from such research practices shall not be shared outside of the classroom context.

Research Projects

The research projects are student-led and does not meet the criteria for classroom research, that may include, but is not limited to, independent undergraduate capstone, and master's theses. This kind of research is subject to the IRB Committee review.

Student Research Guidelines

- » Students who are interested to work in research project should have the approval from their concerned department.
- » All students involved in research project must have a faculty supervisor for the project.
- » Students' applications to the IRB committee for research projects must be pre-approved by the faculty supervisor before submitting to the IRB.
- » Graduate students must follow the guidelines for the responsible conduct of research in preparing the research proposal and writing up the dissertation.
- » Each graduate student is required to register and obtain an ORIC ID to ensure that their work is recognized.

Faculty Members Role

Faculty supervisors shall promote student's involvement in research via publishing joint paper(s) in referred journals and conferences. Additionally, the faculty supervisor is responsible of the following:

- » Ensure that the student's research practices are in compliance with the ethical standards of the related discipline as well as the Institution's policy on Ethical Research.
- » Advise students throughout the process of development, submission, review, in addition to the implementation of the research project.
- » Ensure that students involved in research are aware of their responsibilities.
- » Ensure that the content, quality, and timing of submitted research meet all the requirements of IRB.
- » Immediately notify the IRB Committee in case of research-related, unanticipated incidents or findings during the research study that may affect the benefits of participation.

20 Commercialization of Research Output Policy

The purpose of this policy is to ensure the successful commercialization of research output. The Vice President of Research encourages research work and supports inventors to gain the social and financial benefits of their creative work. Commercialization of Research Output performs a decisive role as the legal protection to the inventors and ensuring equitable benefit to the University in support of its mission.

Statement

Commercialization refers to the development of an invention into a commercially usable product, process, or service. This development may require additional research work of applicable techniques for scaling up the product before bringing the research results to the market. As a University, this will support the inventors in providing the available resources, skills, and risk assessment to commercialize their inventions (Research output).

- a. **Capacity to commercialize the invention:** The American University in the Emirates (AUE) emphasis on inventions within its financial, industrial relationships and technical capabilities. The Vice President of Research Division will work closely with inventors to make sure that the University has the required resources to obtain financial returns from research output or intellectual property. Therefore, it is essential to examine the risks involved in commercialization, such as intellectual property asset management and business planning. The university may collaborate with commercial partners only at the stage when IP protection has been secured.
- b. **Legal commercialization of Intellectual Property:** Inventors shall transfer the intellectual property in full of an appropriate licensee for the IP. Licenses allow IP owners to share inventions in a controlled manner with inventors by a signed contract between the two parties, specifying the terms and scope of the agreement. However, the licensing IP, such as “know-how” shall remain confidential information until the IP is registered and granted between all parties. The legal and financial departments must approve the contract agreement of the University including inventors involved in the negotiation of license agreements.
- c. **Waiver or Release of University IP Rights:** The Vice President of Research may waive or release the University’s IP rights to the inventor(s) after taking approval from the legal and financial departments. In this case, Inventor(s) can seek ownership for sponsoring their research work or invention or creative work. An Inventor(s) may submit by writing a waiver request to the Vice President of Research.

21 Ethical Research Policy

All faculty members, students, and academic visitors must imperatively abide by the responsible conduct of research while carrying out research activities to ensure the practice of all aspects of the moral and integrity of doing research and performing in a responsible, honest, and impartial manner. Researchers must avoid any intentional and unintentional falsification, plagiarism, conflict of interest or any form of misconduct, as outlined below:

Falsification

Falsification is the practice of disregarding or changing research data, outcomes, equipment or processes of research results that are no longer reflected precisely in the research study in order to improve the research outcomes, or failed to answer the research hypothesis properly.

Fabrication

Falsify or makeup research data or study results and reporting them. Researchers must be mindful of data collection, precise for every fact observed, heard, or collected in interviews with reliable data sources and transparent data analysis.

Plagiarism

Plagiarism and misuse of contribution are types of theft that affect the recognition of the original work, which takes time, energy, and resources for the genuine author. Researchers should properly cite and give appropriate credit to original works.

Conflict of Influence

A conflict may arise when researchers who feel strongly about a subject has the possibility to bias the result in favor of personal belief or influence or funding entity. Researchers are encouraged to collaborate and do their utmost to exclude any influence from their investigation. Ensuring data integrity is a primary concern in research and using transparent and reliable data analysis that is adequately prepared to be demonstrable.

Conflict of Responsibility

Collaborative research project between the University with a government, private business and local or international academic institutions should be driven by responsible conduct of research. A conflict of commitment may occur when researchers devote more time and effort to other organization activities than fulfilling their expected commitment and role at the University.

Inappropriate Data Collection

Serious deviations from accepted standards in the conduct of research may have serious consequences and inappropriate data collection methods can yield invalid results. While honest errors are not research misconduct, Researchers must also be mindful of their collecting, documenting, and data analysis methods. Data collection must not be conducted without adequate approvals from the institutional review board and must comply with all research guidelines and institutional policies.

Data collection from vulnerable persons

When collecting data from children or participants considered to be vulnerable, the researcher shall:

- Obtain consent from a parent, guardian, or responsible adult after providing them with enough information about the research process.
- Exercise due care during the data collection process, including the child's or vulnerable person's agreement to participate.

Declaring Research Support

The researchers must declare any external funding to their research. Complete information about such funding should be shared with the Research Division to obtain prior approval for ethical review.

Disclosure of Participants Identity

Researchers may experience a conflict between comprehensive and detailed data collection and protecting the identity of participants who have been involved in their research. Direct and deductive disclosure of participants' identity is a major misconduct. Respect for the confidentiality of participants is the primary ethical consideration in research, and the protection of participants' privacy is a must.

Responsibility

The University shall seriously investigate any reported breach of responsible conduct of research in research activities by faculty members, students, professional staff, and academic visitors. The Vice-President of Research shall be responsible for forming a qualified committee to perform such investigation.

Commercialization of Research Output

Commercialization refers to the development of an invention into a commercially usable product, process, or service. This development may require additional research work of applicable techniques for scaling up the product before bringing the research results to the market. As a University, this will support the inventors in providing the available resources, skills, and risk assessment to commercialize their inventions (Research output).

a. Capacity to Commercialize the Invention:

The American University in the Emirates (AUE) emphasis on inventions within its financial, industrial relationships and technical capabilities. The Vice President of Research Division will work closely with inventors to make sure that the University has the required resources to obtain financial returns from research output or intellectual property. Therefore, it is essential to examine the risks involved in commercialization, such as intellectual property asset management and business planning. The university may collaborate with commercial partners only at the stage when IP protection has been secured.

b. Legal Commercialization of Intellectual Property:

Inventors shall transfer the intellectual property in full of an appropriate licensee for the IP. Licenses allow IP owners to share inventions in a controlled manner with inventors by a signed contract between the two parties, specifying the terms and scope of the agreement. However, the licensing IP, such as "know-how" shall remain confidential information until the IP is registered and granted between all parties. The legal and financial departments must approve the contract agreement of the University including inventors involved in the negotiation of license agreements.

c. Waiver or Release of University IP Rights:

The Vice President of Research may waive or release the University's IP rights to the inventor(s) after taking approval from the legal and financial departments. In this case, Inventor(s) can seek ownership for sponsoring their research work or invention or creative work. An Inventor(s) may submit by writing a waiver request to the Vice President of Research.

22 Faculty Participation in Conference/Workshop/Seminar/Training

The AUE encourages faculty members participation in academic activities both nationally and internationally, such participation has a great role in the dissemination of knowledge and provides a great opportunity for research collaboration and exchange of research expertise and skills. This policy provides the guidelines on both eligibility and funding for Conference Attendance, Workshop, Seminar, or Training

AUE faculty members can participate in international scientific conferences, seminars, workshops or Training relevant to AUE's Research topics.

Faculty members interested to attend scientific international conference to present a paper or as a keynote speaker shall submit their request to the relevant Dean for approval before submitting to the authorized supervisor (s), Provost and VPR for approval and signature. Approval of requests for such participation is subject to no interference with teaching and other obligations as applicable.

AUE 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. All full-time faculty members may apply for conference funds after completing six months at AUE. The Research division 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. The concerned College should approve the application and budget for conference attendance prior to submission to the Research division for approval.

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.

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 (VPR).

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. Reimbursement University Policy shall apply in the event of requesting expenses.

If some classes will be unavoidably affected, guidelines on substitution and make-up classes will apply.

Faculty Participation Procedure

1. Participation in academic activities both nationally and internationally in various forms are highly encouraged by AUE.
2. To support the creative endeavors AUE highly encourages the faculty members in creative scholarship to create artwork and/or participate in national and international exhibitions. However, the approval of such a request is subject to no interference with teaching and other obligations as applicable.
3. Faculty member interested to attend scientific international conference to present a paper or as a keynote speaker should first check if s/he is eligible as per the University policy.
4. Eligible faculty member must complete an Application Form to ensure that, providing all information requested in the form.
5. The Applicant should submit her/ his Application Form to the relevant Dean for approval before submitting to the authorized supervisor (s), Provost and VPR for approval and signature.
6. The signed Application Form should be submitted to the Research Division through the portal.
7. The Application Form should be submitted eight (8) weeks prior to the date of the event.
8. The Research Division shall notify the relevant faculty member about her/ his application approval status (approved or Not approved) via e-mail within three (3) weeks of submission date.
9. All full-time faculty members may apply for conference funds after completing six months at AUE. The Research Division 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.
10. AUE provides financial support for faculty participating in national and international scientific Conferences, Seminars and Workshops in which faculty member present her/ his scholarly research activities within the available budget allocations.
11. The financial support to cover expenses associated with travel, conference registration and accommodation. However, the total should not exceed the amount specified in the approved budget and may vary depending on the venue location and the research event.
12. The concerned College should approve the application and budget for conference attendance prior to submission to the Research Division for approval.
13. Faculty member 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 her/ his College and the University.
14. The below documentation should be submitted to Research Division via the Dean, the next week following the event:
 - 14.1 A summary report on the attended event (maximum two pages).
 - 14.2 Provide participation evidence (e.g. copy of participation certificate).
 - 14.3 Participating faculty member shall organize a Seminar to disseminate the knowledge in cooperation with the College and the Office of Research.

23 Research Expectation and Responsibilities

The American University in the Emirates has a firm belief that, academic research and professional development contribute to the overall advancement, effective improvement and raising the research standards related activities and services to the AUE, the UAE, and the region.

The American University in the Emirates sets a Strategic Policy regarding faculty research activities. The University has set expectation and responsibilities for active researchers to guide their efforts towards successful research output.

Responsibilities

1. Using the AUE resources responsibly.
2. Adhere to Code of Conduct of Research
3. Disclose research findings.
4. Implement best practices in research.
5. Identify and obtain research requirements as needed in accordance with AUE polices.
6. Contribute to AUE library by suggesting new resources in the related filed of interest.
7. Organize and/or Participate in national/international events on contemporary topics to attract distinguished researchers to contribute to overall research advancement.
8. Share research information with the AUE Office of Research and explore its potential for multidisciplinary collaboration.

Expectations

1. Select innovative research projects.
2. Publish in highly impact journals.
3. Adhere to IP and Copyright.
4. Participate in the internal and external research grants competitions.
5. Effective engagement to build a friendly environment for research, improve and strengthen research collaboration across the Colleges in the University.
6. Adhere AUE Policies and Procedure for Awards.
9. Publish papers highly rated International Conferences and Journals.
10. Contribute to the advancement of the faculty members' career professional development.
11. Adhere to the AUE research Mission, Policies, Intellectual Property, Copyright, Plagiarism and Research Misconduct.

Research Code of Conduct

Responsible Conduct of Research Guidelines:

1. All faculty members, students, academic visitors must abide by the AUE Research code of conduct while carrying out research activities to;
2. A verified an unintentional error due to misinterpretation, misjudgment, and discrepancies shall not be consider by the AUE as misconduct.
3. AUE shall seriously investigate any reported breach of conduct of research by faculty members, students' professional staff and academic visitors.
4. The Vice President of Research shall constitute committee to investigate any research misconduct.
5. Confidentiality and protection of participants private information are protected by AUE research policy and procedures.
6. AUE research policy adhere to Intellectual Property and copyright.
7. 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.

Research Expectation and Responsibility Procedure

Faculty Failing to Meet Research Expectation

First Breach:

Partially Meeting the Minimum Requirement:

If a faculty member meets only 50% of the minimal standards during the academic year, the direct supervisor in deliberation with the faculty member during the annual performance evaluation defines an improvement plan to mitigate research expectation.

Not Meeting the Minimum Requirement:

If a faculty member failed to achieve the minimum requirements during the academic year, a first warning letter must be given. This warning letter will include a statement outlining the one-year delay in promotion.

Second Breach:

Partially Meeting the Minimum Requirement:

If a faculty member meets only 50% of the minimal standards in the subsequent academic year, a first warning letter must be given. This warning letter will include a statement outlining the one-year delay in promotion.

Not Meeting the Minimum Requirement:

A second warning letter must be issued if a faculty member fails to meet the minimal research expectation in the subsequent academic year after receiving the first warning. This warning letter will include a statement disallowing research rewards, salary increments, and promotion delays.

Final Breach:

Partially Meeting the Minimum Requirement: If a faculty member meets only 50% of the minimal standards in the third academic year, a second warning letter must be given. This warning letter will include a statement disallowing research rewards, salary increments, and promotion delays.

Not Meeting the Minimum Requirement: A final warning letter must be issued if a faculty member fails to meet the minimal research expectation in the third subsequent academic year after receiving the second warning. This warning letter will include a statement disallowing research rewards, salary increments, and promotion delays.

Type of Research Published

- » Research Article, Case Study, Intervention, Book Chapters, Special Issues, Monograph, Textbook.
- » Creative Research Activity:
 - Visual artwork, where the research output such as a fine art and crafts work, diagram, map, photographic image, paintings, drawings sculpture or installation can be considered.
 - Design work related to realized, constructed, fabricated, or unrealized building and research involved.
 - Models, installations, digital creations and built work, bespoke collections, garment and product design, pattern, and textile design, through modes of distribution including exhibitions, permanent collections, and regional, national, or international design competitions.

- Written creative work ineligible to be submitted as a scholarly book or journal article, such as a novel, screenplay (scriptwriting), or art review. Exhibition catalogs, this sub-category.
- Film/video/animation, film or video directing, producing, creative directing, shooting, editing, storyboarding, and other recorded, rendered creative works not listed above. o Performances (in music, dance, theatre, etc.) created specifically for a recorded medium.
- Recorded/rendered creative works, often experimental, produced in association with other researchers in other disciplinary fields.
- Digital outputs of 2D and 3D visual artworks, design projects, computer programs, games, animations, and 3D models.
- Website/web exhibitions are eligible as recorded/rendered creative works if the applicant is the creator of the pieces featured on the website.
- Curated/ produced substantial public exhibitions and creative events.

24 Professional Development

The University strives innovation in its teaching, learning, research and service functions and aims to provide ongoing opportunities to develop its faculty members' capabilities, The University supports collegial, effective, and meaningful professional development that aid achieving its mission and goals. Academic departments are responsible for planning and facilitating professional development activities for its faculty and assess the effectiveness of the activities. The University frames its effort towards faculty professional development into a comprehensive approach that prioritize the necessary skills and competencies.

Statement

The University is committed to provide professional development opportunities and training programs to all faculty members including part-time, that are relevant to the Institutional mission, to enrich faculty members' career path by enhancing their use of technology, foster innovative teaching and research capabilities and advancement of the field.

Professional Development Plan

University views professional development is a strategic priority, the University develops an annual professional development plan and its budget that integrates the needs and desires of faculty members through institution-wide "Professional Development Survey", and academic department priorities alignments. Professional development plan also comprises collective recommended professional development activities yielded from poor performance assessment of faculty. Furthermore, visiting and part-time faculty members are included in the professional development plan - limited to in-campus workshops, general training, and orientations.

Professional Development Funds

All full-time faculty members with acceptable performance standing and a minimum of six months of service are eligible for professional development funds. The University allocates a certain amount per academic year per full-time faculty member to allow more participation in professional development activities, funds should be used only for professional development direct expense. Faculty members cannot transfer current or previous funds to next year professional development and cannot share funds with another faculty member or staff in the University or with external individuals.

The professional development funds support event attendance, traveling and registration fees, seminars or other professional meetings related to the field or pedagogy and relevant learning resources, and supports institutional memberships or subscription relevant to the field or pedagogy. All spent or received funds during the academic year must be repaid to the University on resignation or job termination.

Responsibility of Professional Development

Planning, budgeting and execution of the professional development plan is the responsibility of the Provost Office, and academic departments. Faculty members are responsible in sharing their research and development plans through their academic department and institution-wide survey, moreover, they are responsible to plan professional development activities that are aligned to the mission of the University and to the goals of their departments as well as comply to terms of this policy. Furthermore, faculty members are responsible to monitor the funds spending during the academic year.

Scope of Professional Development

Professional development is the learning opportunity pursued by faculty members to retain and improve their expertise, knowledge and skills. Professional development programs may be conducted in different forms; off-campus, on-campus, online, videoconference, self-study or pre-

recorded professional development and other forms, the scope of the professional development includes:

a. Discipline-Specific Professional Development

Discipline-specific professional development concentrates on advancement in the field. It directly contributes to the quality, rigor and innovation of teaching, learning, and research. It can be offered in various forms, certification program, conference, or workshop. Discipline-specific professional development is applicable for full-time, part-time, and visiting faculty members.

b. Instructional & Supervision Professional Development

Promotes innovation of teaching, learning and the development of undergraduate and graduate curricula and pedagogy. The aim of these professional development activities is to enhance the quality of undergraduate and graduate delivery and supervision through pedagogical innovation in areas such as student-centered learning, course design, student assessment techniques, diversity and inclusion in classrooms, and academic advising. Instructional & supervision professional development is applicable for full-time, part-time and visiting faculty members.

c. Software Application Professional Development

Training activities focus on the discipline-related software applications, instructional technology and learning management system tools applied by the University. This type of training is ongoing for faculty members, specially the technology related training. Software Application professional development is applicable for full-time, part-time and visiting faculty members.

d. Research-Related Participation

Participation in academic activities both national and international, workshops or training in various forms are highly encouraged at the University. Such participation has a great role in the dissemination of knowledge and provides a great opportunity for Research collaboration and exchange of research expertise and skills. Research-related participation is applicable for full-time faculty only.

e. Creative Professional Development

Specialized faculty in art, architecture, digital animation and multimedia, fashion, design and other creative disciplines are empowered to develop themselves through creative conferences, workshops, media conferences and other types in innovative scholarly practice. Creative professional development is applicable for full-time, part-time, and visiting faculty members.

f. Faculty Orientations

Empowering new faculty and part-time faculty to contribute to a collegial and productive campus culture, necessary information on the teaching and learning philosophy in the University, directing the new faculty and part-time faculty to build awareness of University mission, values, and policies. Furthermore, another form of orientation is a series of scheduled professional development sessions aims to prepare faculty members in various subject matter assigned.

g. Performance-Based Professional Development

On the basis of job performance evaluations, faculty members with low performance scores, may be directed to pursue professional development activities in one or more areas; instructional, research, creative and/or service to enhance the underscored areas.

h. Other Types of Professional Development

Faculty members can plan in coordination with their academic departments more forms of professional development such as developmental assignments and professional association membership. Furthermore, the University can develop selected faculty members in educational administration, organizational development, accreditation, budgeting and planning training to support the institution's mission.

Academic Degrees

Since recruiting policies of the University require deciding the institution's requirement for specialization and degrees, the University does not consider pursuing academic degrees part of faculty professional development scope, whether it is a greater or additional academic degree. Faculty members may self-pace pursue academic degree without expecting any contribution or support from the University.

Membership

The University may cover the expense of institutional-level membership that contribute to college and the University. However, only one full collective membership can be obtained per association, thus, if the University has membership by another faculty or staff, additional membership is not necessary. Furthermore, individual-nature membership expense is not allowable.

Alignment of Research Agenda

The University Research Agenda offers guidance on direction and priority for its faculty to recognize and classify fields and topics that contribute to regional challenges and national initiatives that warrant investigation. The University will devote institutional resources to encouraging and supporting the Faculty to support and accelerate national goals and will facilitate the professional development of its scholars to investigate and explore these directions. However, the University does not recognize initiatives for professional development and research proposals that are not in line with its research agenda.

Professional Development Leave

Full-time Faculty members are entitled for professional development activity leave only for face-to-face activities. However, professional development leave might be revoked if the activity is during college or department critical periods during the academic year such as final examination, defense or other inevitable obligations, furthermore, the application for leave shall specify the provision of workload coverage and other obligations.

Professional Development Procedure

Participation in conference, workshop, seminar, and training

1. Approval of requests for such participations is also subject to no interference with teaching and other obligations as applicable.
2. Faculty members interested to attend scientific international conference to present a paper or as a keynote speaker should first check if they are eligible as per the University policy.
3. Eligible faculty members should complete the Application Form to ensure providing all requested information in the form and avoid to skip any question unless justified otherwise.
4. The Application Form should be submitted to the relevant Dean for approval before submitting to the authorized supervisor (s), Provost and VPR for approval and signature.

5. The signed in Application Form should be submitted to the Research Division through the portal.
6. The Application Form should be submitted eight (8) weeks prior to the date of the event.
7. The Research Division shall notify the relevant faculty member (s) about their application approval status (approved or Not approved) via e-mail within three (3) weeks of submission of their application.
8. After completing six months at AUE. All full-time faculty members may apply for conference funds
9. The Research Division 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.
10. The concerned College should approve the application and budget for conference attendance prior to submission to the Research Division 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 Research Division 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 Research Division, if applicable.

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 is submitted by the faculty, the department or the college to the Dean's for Approval,
2. After the Dean's approval the application is submitted to the Vice President for Research.
3. 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 Vice President for Research for approval.
4. 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 (VPR).
5. A sponsored faculty member will still require the endorsement of the respective College and approval by the Research Division, so that his/her participation in the Conference, Seminar, Workshop or Training activity becomes an official function.
6. Reimbursement University Policy shall apply in the event of requesting expenses.
7. 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.
8. If some classes will be unavoidably affected, guidelines on substitution and make-up classes will apply.

25 Faculty Promotion

Faculty members can apply for academic promotion from one academic rank to a higher rank consequent upon merit and criteria established for promotion. Promotion in academic rank is a formal recognition by the University of a substantial record of achievement by the faculty member, appropriate to a given rank. It confirms that the individual can make a continuing contribution to AUE's Mission in teaching, research, and university & community service. The change in academic rank is effective from the date of issuing the letter of Promotion. The promoted faculty member shall be eligible for salary and benefits of the new rank per the established salary structure from the following semester. The promotion standards detailed in this policy are a minimum. With the Provost's approval, the Promotion Committee may identify additional criteria at or above the AUE standards as appropriate to the requirements of the discipline or the profession. Any appointment of new hire in the rank of Associate Professor and Full Professor, will be validated by the AUE Promotion Committee.

Promotion Criteria

Although individual faculty members may differ in the emphasis they give to teaching, research, and university & community service based on their designation, an appropriate level of accomplishment is expected in all four areas. Faculty members will be evaluated for promotion under the criteria detailed below:

- i. Teaching Effectiveness (40%)
- ii. Research, Scholarly and/or Creative Activities (40%)
- iii. University Service (10%)
- iv. Community Service (10%)

A candidate who applies for promotion to the rank of Associate Professor must score at least **76%** of the total points assigned to research, teaching, and services to be promoted.

A candidate who applies for promotion to the rank of Full Professor must score at least **81%** of the total points assigned to research, teaching, and services to be promoted.

Criteria for Promotion		Assistant Professor to Associate Professor	Associate Professor to Full Professor
		Minimum Score must be achieved	Minimum Score must be achieved
Teaching Effectiveness	40 %	70 %	75 %
Research, Scholarly and/or Creative Activities	40 %	80 %	85 %
University Service & Community Service	20 %	80 %	85 %
Overall Score must be achieved		76%	81%

Although the specific contributions in each category may vary from one faculty member to another (depending on their area of specialization), and although the faculty members can demonstrate their achievements in various ways, all faculty members should demonstrate their achievements in these four areas.

Applicant Eligibility

i. Promotion to the Rank of Associate Professor

- An applicant must have one academic year of residency at the American University in the Emirates.
- Publications before achieving the terminal degree shall not be considered for promotion.
- Successful teaching, research, and service experience at licensed, validated, and/or accredited universities, as defined for the senior academic rank.
- An applicant must have held the rank of Assistant Professor for a minimum of 4 years before applying for the rank of Associate Professor, including the required tenure at the University.
- Faculty members shall provide a portfolio of evidence for each of the four domains of activity: teaching, research, university service, and community service. This evidence is supplemented by the outcomes of performance reviews, evaluations of research scholarship by external peer reviewers, and both students and peer evaluation of teaching.

ii. Promotion to the Rank of Full Professor

- An applicant must have one academic year of residency at the American University in the Emirates.
- Publications before achieving the terminal degree shall not be considered for promotion.
- Successful teaching, research, and service experience at licensed, validated, and/or accredited universities, as defined for the senior academic rank.
- An applicant must have held the rank of Associate Professor for a minimum of 5 years before applying for the rank of Full Professor, including the required tenure at the University, with documented evidence of ongoing and recognized professional achievement. In addition, an applicant for Full Professor must provide an appropriate attested letter of promotion to the rank of Associate Professor.
- Faculty members shall provide a portfolio of evidence for each of the four domains of activity: teaching, research, university service, and community service. This evidence is supplemented by the outcomes of performance reviews, evaluations of research scholarship by external peer reviewers, and both students and peer evaluation of teaching.

Procedure for Promotion: Assistant to Associate Professor

- An applicant must have a minimum of five (5) high-quality scholarly peer-reviewed articles published in academic journals in the applicant's field of specialization, with more than 50% of those articles published in specialized Scopus (preferably Q1/Q2) journals.
- Only one paper in a Scopus-indexed, peer-reviewed, international conference proceedings may substitute for a peer-reviewed journal article.
- The applicant must be the first author of at least two submitted publications and the sole author of at least two publications with high-impact factors.
- The applicant must be the sole author of at least one publication indexed in Scopus.
- A case study in the applicant's field of specialization (published or accepted for publication) in a refereed academic or applied journal may be considered for promotion. Only one such work may substitute for a peer-reviewed journal article.
- Published books/book chapters that contribute to the applicant's field of specialization may be considered for promotion, provided that such books/book chapters were evaluated for publication by two referees in the applicant's specialization and were published by a reputable publisher. Only one such work may substitute for a peer-reviewed journal article.
- A maximum of one unpublished paper may be considered if documented as "Accepted for Publication."

- Submitted works for a promotion application must be distributed over at least three years from the time of attaining the rank of an Assistant Professor.
- At least 75% of submitted works must be published in English, except for the College of Law (CLAW) faculty and faculty members teaching primarily in Arabic.
- Faculty Members must have received their credential recognition from the Ministry of Education, UAE before applying for Promotion.
- Faculty Members who have received warning letter(s) will not be considered for Promotion unless the warning(s) has been removed.
- Other scholarly activities and services will be further considered for evaluation purposes

Procedure for Promotion: Assistant to Associate Professor Based on Creative Scholarship

- Have an active record of professional accomplishment with a minimum of 5 (five) published creative works and/or scholarship activities.
- All research outputs, including original creative work, live performance, recorded/rendered artwork, and curated or produced substantial public exhibitions and events, are recognized and accepted for promotional purposes.
- In this regard, the creative research output and activities may include but are not limited to the following:
 - a) Visual artwork, where the research output such as a fine art and crafts work, diagram, map, photographic image, paintings, drawings sculpture or installation can be considered.
 - b) Design work related to realized, constructed, fabricated, or unrealized building and design projects. 'Unrealized' projects must have an output that provides evidence of the research involved.
 - c) Models, installations, digital creations and built work, bespoke collections, garment and product design, pattern, and textile design, through modes of distribution including exhibitions, permanent collections, and regional, national, or international design competitions.
 - d) Written creative work ineligible to be submitted as a scholarly book or journal article, such as a novel, screenplay (scriptwriting), or art review. Exhibition catalogs, publications, and catalog entries' commercial distribution should also be submitted in this sub-category.
 - e) Film/video/animation, film or video directing, producing, creative directing, shooting, editing, storyboarding, and other recorded, rendered creative works not listed above.
 - f) Performances (in music, dance, theatre, etc.) created specifically for a recorded medium.
 - g) Recorded/rendered creative works, often experimental, produced in association with other researchers in other disciplinary fields.
 - h) Digital outputs of 2D and 3D visual artworks, design projects, computer programs, games, animations, and 3D models.
 - i) Website/web exhibitions are eligible as recorded/rendered creative works if the applicant is the creator of the pieces featured on the website.
 - j) Curated/ produced substantial public exhibitions and creative events.

Procedure for Promotion: Associate to Full Professor

- An applicant must have a minimum of eight (8) high-quality scholarly peer-reviewed articles published in academic journals in the applicant's field of specialization, with more than 50% of those articles published in specialized Scopus (preferably Q1/Q2) journals.
- Only one paper in a Scopus-indexed, peer-reviewed, international conference proceedings may substitute for a peer-reviewed journal article.
- The applicant must be the first author of at least two submitted publications and the sole author of at least two publications with high-impact factors.
- The applicant must be the sole author of at least one publication indexed in Scopus.
- A case study in the applicant's field of specialization (published or accepted for publication) in a refereed academic or applied journal may be considered for promotion. Only one such work may substitute for a peer-reviewed article.
- Published books/book chapters that contribute to the applicant's field of specialization may be considered for promotion, provided that such books/book chapters were evaluated for publication by two referees in the applicant's specialization and were published by a reputable publisher. Only one such work may substitute for a peer-reviewed journal article.
- A maximum of one unpublished paper may be considered if documented as "Accepted for Publication."
- Submitted works for a promotion application must be distributed over at least three years from the time of attaining the rank of an Associate Professor.
- At least 75% of submitted works must be published in English, except for the College of Law (CLAW) faculty and faculty members teaching primarily in Arabic.
- Faculty Members must have received their credential recognition from the Ministry of Education, UAE before applying for Promotion.
- Faculty Members who have received warning letter(s) will not be considered for Promotion unless the warning(s) has been removed.
- Other scholarly activities and services will be further considered for evaluation purpose.

Procedure for Promotion: Associate to Full Professor Based Upon Creative Scholarship

- Have an active record of professional accomplishment with a minimum of 8 (eight) published creative works and/or scholarship activities.
- All research outputs, including original creative work, live performance, recorded/rendered artwork, and curated or produced substantial public exhibitions and events, are recognized and accepted for promotional purposes.
- In this regard, the creative research output and activities may include but are not limited to the following:
 - a. Visual artwork, where the research output such as a fine art and crafts work, diagram, map, photographic image, paintings, drawings sculpture or installation can be considered.

- b. Design work related to realized, constructed, fabricated, or unrealized building and design projects. 'Unrealized' projects must have an output that provides evidence of the research involved.
- c. Models, installations, digital creations and built work, bespoke collections, garment and product design, pattern, and textile design, through modes of distribution including exhibitions, permanent collections, and regional, national, or international design competitions.
- d. Written creative work ineligible to be submitted as a scholarly book or journal article, such as a novel, screenplay (scriptwriting), or art review. Exhibition catalogs, publications, and catalog entries' commercial distribution should also be submitted in this sub-category.
- e. Film/video/animation, film or video directing, producing, creative directing, shooting, editing, storyboarding, and other recorded, rendered creative works not listed above.
- f. Performances (in music, dance, theatre, etc.) created specifically for a recorded medium.
- g. Recorded/rendered creative works, often experimental, produced in association with other researchers in other disciplinary fields.
- h. Digital outputs of 2D and 3D visual artworks, design projects, computer programs, games, animations, and 3D models.
- i. Website/web exhibitions are eligible as recorded/rendered creative works if the applicant is the creator of the pieces featured on the website.
- j. Curated/ produced substantial public exhibitions and creative events.

Evaluation Criteria

Research, Scholarly and/or Creative Activities (40%)

The applicant's performance in research, scholarly and creative activities shall be evaluated per the following criteria:

a. Published Research Articles

- For promotion to the rank of Associate Professor, a minimum of five publications or creative works (as mentioned in the eligibility criteria above).
- For promotion to the rank of Full Professor, a minimum of eight publications or creative works (as mentioned in the eligibility criteria above).

b. Recognition/Achievement in the Discipline

- Receives honors, awards, grants, or commendations from academic organizations, educational institutions, governmental agencies, or private foundations for the applicant's work in the discipline.
- Increases disciplinary competencies through attending professional meetings, workshops, seminars, or credit courses; completes additional degrees or certificates.

Teaching Effectiveness (40%)

The applicant's performance in teaching and academic advising shall be evaluated per the following criteria:

a. Planning and Preparation of courses

- Uses well-structured course syllabi with clear course objectives, learning outcomes, educational references, and assessment tools.
- Participates in developing new programs and courses or significantly revising existing programs and courses.
- Ensures the achievement of the course learning outcomes.

b. Classroom Presentation

- Presents materials in a clear and orderly manner and summarizes and emphasizes the main points.
- Encourages students to develop their ideas.
- Takes into consideration student responses, encourages student participation, and welcomes questions and discussions.
- Demonstrates a professional attitude and avoids subjects irrelevant to the course content and unnecessary comments of a critical nature.
- Uses class time and educational technology effectively and efficiently.
- Uses innovative teaching methodologies and learning approaches

c. Assessment of Student Performance

- Uses effective and comprehensive evaluation and keeps students informed of their level of progress.
- Provides adequate support for the exams.
- Uses various assessment tools to evaluate student performance.

d. Development of Instructional Methods

- Discusses teaching and learning methodologies with colleagues.
- Uses student and colleague assessments to improve teaching.
- Attends agreed-upon workshops and professional meetings and conferences to improve teaching delivery and efficiency.

e. Responsibilities beyond the classroom

- Responds in a sympathetic, helpful, and friendly way to the students' need for academic assistance.
- Posts and maintains office hours well known to students.
- Treats students with respect and kindness.
- Organizes and participates in student academic advising

In addition to the above, the following shall be considered:

- Faculty and course evaluations by students
- Peer and immediate supervisor evaluations
- Curricular development and engagement activities at the college and University levels
- Effective teaching (methodological approach and student engagement methods)

University Service (10%) and Community Services (10%)

The applicant's performance in professional (university) and community services shall be evaluated per the following criteria:

a. Service to the University

- Serves on a University committee as a chair or member.
- Serves in academic administrative positions, such as College Dean, Associate Dean, Assistant Dean.
- Secures fundraising, partnership agreements, or affiliation and sponsorship discounts

b. Service to the College:

- Develops a partnership agreement affiliation
- Helps with program accreditation
- Establishes a center, office, or unit
- Serves on a college committee

c. Service to the Community

- Serves as a consultant in areas of professional expertise.
- Serves on boards or committees in the area of professional expertise.
- Is involved in community activities, such as seminars, public lectures, and media publications.

d. Service to the Discipline

- Serves as a member of professional organizations.
- Is a panel, keynote, or guest speaker at professional conferences.
- Serves as a journal editor, journal reviewer, promotion reviewer, or program accreditation reviewer
- Serve as a thesis examiner or supervisor.

Faculty Promotion Procedure

The following procedures shall be followed for the promotion of faculty members:

- A completed application for promotion shall be submitted using the form designated for this purpose to the Chair of the Promotion Committee. You can request the form from the Chair of the Promotion Committee
- Applicants must attach a dossier (two hard copies and a soft copy), including the following:
 - A complete application form.
 - A CV indicating the academic degrees and the dates they were obtained, academic ranks, all research or creative work submitted for promotion, teaching, advising, and university and community services.
 - Copies of the publication and creative work submitted for promotion
 - Information about whether or not the journals are indexed in Scopus with links to the publications

- A list of the research submitted for promotion, including citations for various publications
 - Evidence to prove the applicant's contribution to teaching and academic advising, and university and community services, including the peer evaluation and student evaluation.
 - Evidence to prove the applicant's contribution to professional (university) and community services.
 - Summary of the applicant's contributions to the area of scientific research.
 - Plagiarism report of the submitted work (please see [section 14.6. Plagiarism](#))
 - The applicant should sign the applicant dossier.
- The applicant should thoroughly proofread all materials and review the documents to ensure the dossier's completeness.
 - The Promotion Committee shall assess each applicant's dossier according to the evaluation criteria and the Faculty Promotion Policy.
 - The Promotion Committee shall review the promotion applications in different categories to determine the extent to which candidates meet the requirement for promotion.
 - If the candidate dossier is incomplete, the Promotion Committee shall request additional information and supporting documents from applicants.
 - Upon receiving the applicant's required documents, the Chair of the Promotion Committee shall review the promotion applications to determine if each application satisfies the promotion criteria. The Committee may request additional information and supporting documents from applicants if needed to determine the candidate's suitability for promotion.
 - For applicant's applying for the rank of Associate Professor, the Promotion Committee shall select a minimum of three (3) external referees, including at least one from outside the UAE, from the list of referees to evaluate whether an applicant's research complies with the promotion criteria. Two out of three external referees must be Full Processors in the area of the said specialization.
 - For applicant's applying for the rank of Full Professor, the Promotion Committee shall select a minimum of five (5) external referees, including at least two from outside the UAE, from the list of referees to evaluate whether an applicant's research complies with the promotion criteria. Five out of five external referees must be Full Processors in the area of the said specialization.
 - The Chair of the Promotion Committee shall correspond with the selected referees for each applicant. The referees must not be from the country of residence of the candidate.
 - Each referee shall be sent a copy of the applicant's CV, the University's Faculty Promotion Policy and Procedures, the research accepted by the Committee for promotion consideration, and a designated evaluation form for evaluating the applicant's research. If a referee does not respond within one month, the Chair of the Promotion Committee may send the dossier to a replacement referee in the applicant's scientific research area.
 - The Promotion Committee shall review and discuss the evaluation results after receiving the responses from three referees for each application case. The committee shall make its recommendation based on the following:
 - The average score of the three referees evaluating an applicant's research for promotion to the rank of Associate Professor must be at least 80%.

- The average score of the three referees evaluating an applicant's research for promotion to the rank of Full Professor must be at least 85%.
- The Chair of the Promotion Committee shall refer the recommendations of the Promotion Committee to the Provost and Academic Council for consideration. The Academic Council's recommendation shall be made by vote of a simple majority of the council members attending a meeting with a quorum.
- The Chair of the Promotion Committee shall forward the recommendation of the Academic Council to the University Council. The Chair of the University Council shall be responsible for issuing the council decision of approving or rejecting the promotion cases.
- If the University Council does not approve a promotion, the Chair of Promotion Committee shall notify the applicant of the decision in writing. In such a case, the concerned faculty member may reapply for promotion after one year has passed of his/her notification date.

Plagiarism

When plagiarism has been detected, the following actions should be initiated:

- The Chair of the Promotion Committee shall inform the applicant.
- If the violation represents 25% of the applicant's submitted work, the applicant must withdraw this part and replace it to proceed, case closed.
- If the violation represents between 25% and 50% of his work, the applicant should withdraw his dossier, case closed.
- If the violation represents more than 50% of his work, the Chair of the Promotion Committee must report the case to the Provost for action by the University Disciplinary Committee.

26 Performance Evaluation

Regular performance evaluation review stimulates professional growth and improves job performance; it inspires employees to explore innovative ways to promote academic excellence and to recognize opportunities for improvement. The annual performance review is conducted based on the job role and responsibilities; performance criteria are mutually defined for each position, which identifies expectations between employees and supervisors. The performance evaluation review report shall consist of assessments of the performance of employees in each area of responsibility with a separate score for each area, as well as an overall score. This policy provides a reference guide on performance evaluations for academic staff, for full time, visiting, and part-time faculty members, and all academic administrators, and for administrative staff; all non-academic staff, as well as academic and administrative vice presidents.

Statement

All full-time and part-time employees must be reviewed annually. The performance evaluation must be developed on the basis of performance criteria, which are derived from the job function and responsibilities. The performance criteria provide measurable and transparent ground. The performance review result intends to improve employee performance and streamline their effort to achieve the units and University mission.

Performance Criteria

In collaboration with employees and their supervisors, performance criteria are developed for each job description of the position. The performance criteria will be formulated on the basis of departmental priorities, University strategic plan. There are two types of performance criteria:

- (a) Success criteria provide the employee with clear expectations of success in each job responsibility. They are measurable expectations explaining how to achieve satisfactory job performance.
- (b) Exceeding criteria, achieving this level is clearly higher than satisfactory; the employee has done exceptional work or exceeded the expected work achievements due to contributions that go beyond the quality, capacity, and timeliness requirements for this job function.

The development of performance criteria should reflect the following principles:

- a. Concrete – The performance criteria should directly associate to work evidence, tangible feedback, and never rely on sense, rumor, or indirect conclusion. It should relate to the position and not to individuals.
- b. Relevant – The performance criteria should be clearly related to job performance. It should be significant and relevant; also, it should allow both the supervisor and the subordinate to focus their attention on the issues of greatest importance.
- c. Realistic – The performance criteria should be realistic and recognize the standard employee ability.
- d. Measurable – Measures usually involve elements such as quantity, quality, time, or quantifiable outcomes.

Performance Characteristics

Performance characteristics are attributes, skillset, or individual characteristics necessary for satisfactory performance. Listed performance characteristics are applicable skillset required for the position to execute tasks and goals successfully.

Performance Rating

Each performance criteria must be rated based on the submitted evidence and provided rationale by the employee; the rating is directly associated to performance criteria and achievement of the job role. Supervisors must assess employees' strengths and identify opportunities where employees could improve or require additional knowledge or skills.

Supervisors must avoid errors in the evaluation process that may arise from the partial attitude or inconsistent judgment, which prevents the objective and accurate assessment process. Evaluators should ethically consider the common rating errors:

- a. Bias is a tendency towards or against something based on personal preferences. In assessment performance, biasness could be toward or against an individual employee. Supervisors cannot allow perception to determine the performance of employees. Biases make the evaluation process subjective rather than objective, and certainly provide the opportunity for a lack of consistency in effect on different groups of employees. To overcome the bias problem, the supervisor must be objective and not let emotions of liking or disliking the individual influence performance assessment.
- b. Stereotyping is mentally classifying a person as having the same characteristics as a particular social group. Common types of stereotyping that occur in the workplace are gender, race, and nationality stereotyping. To avoid stereotyping by getting to know each employee as an individual and objectively evaluate individual employees based on their actual performance.
- c. Halo effect is the trend to generalize from one specific positive employee feature to other aspects of the individual's performance; the halo effect tends to blind the supervisor to shortcomings in the person being evaluated.
- d. The Horns effect occurs when a particular negative trait or behavior leads the supervisor to generalize the entire employee's performance. Evaluators should independently assess each performance area.
- e. Central tendency errors occur when the supervisor does not use either the high or low rating of the performance evaluation scale. This means that most, if not all, the ratings end up falling in the middle of the scale.
- f. Positive Leniency is the tendency to be an "easy grader" and is demonstrated by giving too many high ratings. Negative Leniency is the opposite and results in a disproportionate number of low ratings.

Performance Review Participants Roles

A reliable performance management process enables the institution to gain employees' full potential. Within the performance review cycle, employees, supervisors, and reviewers have vital roles to play as the entire process primarily depends on them. Employees with direct supervisors together formulate performance agreements and participate in assessment schemes. They discuss their roles and the required skills and, together with their reviewers, define goals. Therefore, performance review participant's roles are outlined below.

a. Role of the Reviewers

Reviewers are the second line of management; generally, they represent the college deans, and vice presidents in the University, they play a crucial role in educating direct supervisors that performance management will contribute to institution strategic goals and resource planning; thus they should ensure conducive and collegiate atmosphere driven by ongoing feedback based on impartial performance assessment intended to improve employee satisfaction and productivity.

Reviewers' role in the performance review process should ensure that direct supervisors have the appropriate attitude to the purpose of performance management and have the proper soft skills for implementing it. Also, reviewers are required to avoid any rating errors such as biasing, stereotyping, or other subjective influences in the performance review process. They should build a culture of evidence, transparency, and competency during and after the performance process.

b. Role of Supervisors

Direct supervisors should consider performance management as a two-way conversation that takes place throughout the year. Offer ongoing formal and informal feedback to endorse employee achievement and identify gaps in a constructive approach avoids shocking the employees with low scores and feedback in their formal performance reviews. Supervisors are encouraged to deploy the performance management process as a powerful technique to promote employee skills advancement and to align professional attitude to unit effectiveness, and to use the performance review result to plan growth and preparation for the coming years.

Supervisors are required to avoid any rating errors such as biasing, stereotyping, or other subjective influences in the performance review process. They should build a culture of evidence, transparency, and competency during and after the performance process.

c. Role of Employee

The role of the employee in this performance management process is to work towards the achievement of performance objectives that are collaboratively formed with the supervisor as part of the performance management practices. Employees are intended to maintain track of work progress and to be able to demonstrate evidence of progress as well as communicating progress on a regular basis to their supervisors, especially if there are challenges that could preclude achieving these objectives.

The performance review process aims at creating a culture of accountability for employees. In addition, employees will embrace positive criticism and take the opportunity to change; they are required to take responsibility for personal growth and career advancement. Maintain a healthy relationship with the supervisor, and often ask for feedback and guidance, especially when you are faced with challenges.

Performance Logs

In order to improve the quality and quantity of the information being used to assess the employee, and to ensure that the performance evaluation covers the entire evaluation period, supervisors should maintain performance logs on employees. These logs should include information indicating tasks or projects performed particularly well and examples demonstrating performance deficiencies.

Appeal

All employees must be provided the opportunity to lodge a formal appeal with the unit head. The appeal may be based on a claim of contested merit score(s) issue in their employee performance review.

If an employee appeals at the unit level and is dissatisfied with the decision of the unit head, an appeal may be made to the relevant vice president, if the employee is still dissatisfied with the decision, the appeal diverted to the Provost, and recommendations to the Provost, whose decision will be final.

Rating Scale Definitions

In performance management systems the rating scales are used to indicate the level of performance or achievement of an employee. These scales provide quantitative assessments to differentiate between employee performance results from the review.

1) Exceeds Expectations

Employee fulfilled established success criteria and achieved the “exceeding criteria” in most areas of performance criteria associated with the job role and responsibilities. All requirements were met, and objectives were achieved above the established standards.

2) Meets Expectations

All success criteria requirements were met, and planned objectives were accomplished within established standards. There were no critical areas where accomplishments were less than planned.

3) Below Expectations

Performance is clearly inadequate. Employee has demonstrated an inability or unwillingness to improve or meet expectations. Performance is not acceptable for position held. Specific deficiencies should be noted.

Probationary

Earning below expectations repetitively; would lead the University to sincerely investigate whether maintained employment is acceptable unless there is clear and rapid performance improvement. Employees on probation are directed to follow a restricted professional development plan intended to improve the performance of underscored areas.

Academic Staff Performance Evaluation Procedure

Evaluation Procedure

Informal performance evaluations occur on an almost daily basis, every time supervisors communicate with employees regarding work assignments, an informal evaluation has occurred. It is important for supervisors to document informal evaluations to assist them in producing formal evaluations and feedback. Formal performance sessions refer to those times when a written performance evaluation is produced and reviewed with the employee. Formal review occurs at three times per the academic year.

a. Performance Planning (initial conference)

- At the beginning of the academic year, the supervisor and the employee discuss the planned levels of performance and perceived current levels of performance and review the job description and the position expectations.
- During the initial conference, the supervisor will clarify the significance of the job description in terms of the performance criteria, expectations, possible evidence, and timelines during the initial conference.
- The success criteria and exceeding criteria should be agreed on jointly.

b. Performance Alignment (interim conference)

- The mid-year conference is an optional performance session. All employees are encouraged to submit a mid-year status report to their supervisors.
- The mid-year conference is compulsory for newly joined employees and provisional employees with unsatisfactory performance in the previous review.

- Furthermore, part-time faculty members sit for an overall semester performance session.

c. Performance Summary (final conference)

Portfolio Development and Submission

- Each employee will create a portfolio that documents his or her achievements and activities in relation to each determined success criterion.
- Each employee must provide evidence of any indicated activity or achievement.
- When the portfolio is completed, the employee will submit it to be evaluated and discussed with his or her supervisor.

Portfolio Evaluation by Supervisor

- At the end of the academic year, the supervisor meets the employee to review the performance criteria and submitted evidence,
- Retrieve the recorded achievements and deficiencies of the employee performance log, examine the various performance factors, and deliberate the rating values with adequate feedback to each performance criteria.

d. Planning and Evaluation (post-conference)

- Once the performance review has been discussed, the focus should shift to the use of performance results. Identifying improvement areas of performance in the next review cycle, performance improvement is likely to occur only if specific plans are developed, and specific performance objectives are set.
- Supervisors and the employee are expected to develop a purposeful professional development plan for achieving the desired performance objectives. Encourage the employee under review to indicate ambitious goals for the next year.
- This type of positive reinforcement makes the relationship feels more reciprocal and thus motivates the department members to achieve more.

Administrative Staff Performance Procedures

Senior Management: comprises staff members from the senior management such as President, Provost, Vice Presidents, Directors, and Managers.

Administrative Officers: are personnel with all administrative ranks below the Manager position.

Evaluation Method for Senior Management

President, Provost, Vice Presidents, Directors, and Managers are required to initiate and submit a comprehensive portfolio with appropriate supporting work evidence that supports the evaluator and reviewer during the performance evaluation process. The portfolio consists of Key Performance Indicators (KPIs) along with success criteria in accordance with the job description of the concerned position. Formal review occurs three times per academic year.

Performance Planning (initial conference)

- At the beginning of the academic year, the supervisor and the employee discuss the planned levels of performance and perceived current levels of performance and review the job description and the position expectations.
- During the initial conference, the supervisor will clarify the significance of the job description in terms of the performance criteria, expectations, possible evidence, and timelines during the initial conference.
- The success criteria and exceeding criteria should be agreed upon joining.

Performance Alignment (interim conference)

- The mid-year conference is an optional performance session, all employees are encouraged to submit a mid-year status report to their supervisors.
- The mid-year conference is compulsory for newly joined employees and provisional employees with unsatisfactory performance in the previous review.

Performance Summary (final conference)

Portfolio Development and Submission

- Each employee will create a portfolio that documents his or her achievements and activities in relation to each determined success criterion.
- Each employee must provide evidence of any indicated activity or achievement.
- When the portfolio is completed, the employee will submit it to the direct supervisor to be evaluated and discussed with his or her supervisor.

Portfolio Evaluation by Supervisor

- At the end of the academic year, the supervisor meet the employee to review the performance criteria and submitted evidence,
- Retrieve the recorded achievements deficiencies of the employee performance log, examine the various performance factors, and deliberate the rating values with adequate feedback to each performance criteria.

Planning and Evaluation (post conference)

- Once the performance review has been discussed, the focus should shift to the use of performance result. Identifying improvement areas of performance in the next review cycle, performance improvement is likely to occur only if specific plans are developed and specific performance objectives are set.
- Supervisors and the employee are expected to develop purposeful professional development plan for achieving the desired performance objectives.
- This type of positive reinforcement makes the relationship feel more reciprocal and motivates the department members to achieve more.

Evaluation Method for Administrative Officers

The immediate supervisor must ensure providing the employee with a copy of the job description outlining the duties and responsibilities of the position, as well as the criteria by which the employee will be evaluated during the probationary period and annually thereafter.

The performance of Administrative Officers is evaluated using the 360-degree evaluation approach, which evaluates the individuals' performance from all angles, including their supervisor's perspective, their subordinates' perspective, their peers' perspective, and their own self-evaluation. Below are the breakdowns of the weights considered when calculating the overall administrative officer's performance evaluation.

- *Self-Evaluation (5%)*
- *Direct Supervisor Evaluation (55%)*
- *Subordinate Evaluation (20%)*
- *Peer Evaluation (20%)*

Peer Selection Guidelines

- A minimum of four peers per applicant is required to protect identity and confidentiality.
- Peer should have frequent work-related interactions with the applicant.
- Two of the peers (at least) must be chosen from external department / unit.
- All peers cannot be chosen from the same external department / Unit
- Peers should have known and worked with the applicant a minimum of 4 months
- Peers should not be on probation.
- The applicant cannot choose all the peers have the same race, nationality, gender, religion or doctrine that match the applicant (in scenario where the applicant's race, nationality, gender, religion or doctrine is a minority)
- Applicant cannot choose peers that are relatives or kin.
- Managers have the right to reject and reassign the peers after the applicant suggestion

Exceptions:

- For those employees who have no subordinates, the 20% will be distributed equally between the peers: (30%) and supervisor: (65%).
- For those employees who have no peers, the 20% will be distributed equally between the subordinates: (30%) and supervisor: (65%).

27 Graduate Assistants

The University offers its graduate students with full-time and part-time assistantship within different areas, such as teaching, research and administrative duties to support them educationally and professionally. The aim is to extend their knowledge in discipline, improve their research skills, advance their pedagogical skills and obtain experience that would prepare them not only for the academic sector but also for corporate sectors. Additionally, the financial support such as the tuition remissions and stipend rates provided by the University encourages the graduate students in pursuing their degree, which is ultimately the University's commitment for the graduate students' success.

Statement

The University provides the opportunity to appoint qualified graduate assistants who are first and foremost graduate students continuing their education, for supporting faculty in teaching, research, or administrative duties.

Categories

The University classifies the graduate assistants as either Graduate Teaching Assistants (TAs), Graduate Administrative Assistants (AAs), or Graduate Research Assistants (RAs). Regularly the nature of appointment for the graduate assistants may change among these classifications during their graduate education.

A. Graduate Teaching Assistant

Graduate teaching assistant is an enrolled graduate student in the University, whose primary responsibility is to assist in class preparation, grading student's coursework, office hours, classroom and/or laboratory teaching, and other teaching tasks as determined by the supervisor. Graduate teaching assistants are under the direct and close supervision of a faculty member. The supervising faculty member and the graduate teaching assistant must meet to discuss and agree on the expectations and the nature of work prior to the start of the assistantship, as outlined in the job description of the graduate teaching assistant.

The official responsibility of the graduate teaching assistant is considered completed upon the grade publishing of the course work.

B. Graduate Research Assistants

The graduate research assistant is an enrolled graduate student at the University, whose primary responsibility is to assist the direct supervisor on research. Graduate research assistant should be assigned to conduct research that is relevant to his/her thesis. The responsibility of the graduate research assistant differs according to the nature of the research. Based on the assigned duties and instruction of the direct supervisor, graduate research assistant may perform their research tasks off-campus or in-campus when classes are not officially in session.

Graduate research assistants are under the direct and close supervision of a faculty member. The supervising faculty member and the graduate research assistant must meet to discuss and agree on the expectations and the nature of work prior to the start of the assistantship, as outlined in the job description of the graduate research assistant.

C. Graduate Administrative Assistants

The graduate administrative assistant is an enrolled graduate student in the University, whose primary responsibility is to organize trainings and workshop sessions for students, and conduct administrative duties to particular programs, or assigned projects under the direct supervision of a faculty member or academic administrator.

The supervising faculty member or the academic administrator and the graduate administrative assistant must meet to discuss and agree the expectations and the nature of work prior to the start of the assistantship, as outlined in the job description of the graduate administrative assistant.

Graduate Assistant Eligibility

A graduate assistant position is granted to enrolled students with good academic standing, demonstrating a satisfactory progress toward earning the degree. Graduate students with a conditional or probationary status are not eligible for assistantship.

Graduate Assistant Qualifications

The University appoints qualified graduate assistant who are enrolled in a graduate degree program relevant to the assigned discipline. Full-time and part-time appointed graduate assistant are part of the credentialing process, as outlined the Faculty Credentialing Manual. The Department Chair/Program Director are responsible to ensure the appropriate qualifications of all graduate teaching assistants employed to support faculty members in academic instruction.

Terms of Appointment

The appointment of graduate assistants is only given to enrolled students in the University for a duration of one academic year or for a shorter period. The appointment starts based on the academic year, from August and ends according to the agreed duration. Graduate assistants with full-time appointment are expected to work for limited hours per week specified in the procedure of this policy.

It is the responsibility of the academic departments to provide their own criteria, according to the University policy, for examining the graduate student's qualification for appointment and reappointment to a graduate assistantship.

In exceptional circumstances, when a qualified graduate student is not existing, the University may appoint a qualified undergraduate student as an undergraduate assistant.

Letters of Appointment

Upon appointment of the graduate assistant, an official letter of appointment is given to the student, outlining the terms and condition, roles and responsibilities, expected workload of the assistantship as per the policy and procedures.

Performance Review

Graduate assistants must be informed by the evaluation criteria and process upon appointment. The performance evaluation is performed annually for both full-time and part-time graduate assistants.

Prior to the end of their appointment, graduate assistants will be evaluated based on their portfolio of achievements by their direct supervisors and/or academic department heads according to their job responsibilities and identified key performance indicators.

Upon the evaluation results of the graduate assistants, the direct supervisor and/or academic department heads should share and discuss with the concerned graduate assistants their performance.

Graduate Teaching Assistant Evaluation

Throughout the appointment duration, the University encourages academic departments to provide ongoing supervision and evaluation on the performance of the graduate teaching assistant. The evaluation for the graduate teaching assistant involves inputs from the perspective of the individual, direct supervisor, and students.

Graduate Research Assistant Evaluation

The direct supervisor should have a periodic and ongoing supervision and communication with the graduate research assistant on the research progress throughout the appointment duration. The evaluation of the graduate research assistant involves input from the perspective of the individual, direct supervisor and thesis committee.

Graduate Administrative Assistant Evaluation

The direct supervisor should have an ongoing supervision and communication with the graduate administrative assistant throughout the appointment duration on the performance and progress of the assigned duties and responsibilities. The evaluation of the graduate administrative assistant involves input primarily from direct supervisor, and secondary from involved faculty members.

Probationary Period

Full-time graduate assistants shall serve a probationary period for three months, and two months for part-time graduate assistants. If the appointed graduate assistant's performance was unsatisfactory, and a decision was taken to discharge the graduate assistant, the direct supervisor shall inform the graduate assistant of the decision of discontinuation.

Reappointment

The graduate assistants might be reappointed for more than one time based on the academic department recommendation and decision. Factors considered in reappointing graduate assistant encompasses but not limited to; satisfactory academic progress, satisfactory performance, availability of funds and academic departmental needs.

Additionally, academic departments may limit the duration of the graduate assistants to give an opportunity for other qualified graduate students to benefit from the assistantship.

Termination or Loss of Support

The appointment of the graduate assistant may be terminated prior to the expiration of its designated term under unusual and compelling conditions that include, but are not limited to:

- Not abiding by the appointment conditions
- Failure to perform the assigned tasks
- Placed on an academic probation
- Violation of the Academic Integrity
- Violation of the Student Code of Conduct

Accordingly, a termination letter will be issued and given to the graduate assistant and the stipend amount and/or tuition remission will be reconsidered based on the termination date.

Appeal

The graduate assistant has the right to appeal and review the decision made by either the disciplinary or grievance committee, as per the Faculty and Staff Appeal Policy.

Supervision of Graduate Assistants

It is the responsibility of either the Dean and/or Department Chair/Program Director that offers the appointment to oversees the graduate assistant's performance. Academic Department defines the graduate assistant tasks, oversees his/her work, and suggests for reappointment. The assigned tasks for the graduate assistant are determined by either the Department Chair/Program Director, and/or faculty member who is assigned to supervise the graduate assistant's course.

Graduate Assistant Professional Development

Upon appointment of graduate assistants, and in coordination with the academic departments, the University provides an orientation to the newly appointed graduate assistant prior to the beginning of each semester to enlighten them with the policies and procedures that are applicable to them, as well as, identify their expected roles and responsibilities.

In addition, graduate assistants are provided with opportunities for professional development that affirm their expertise and success as well as promote them to develop necessary skills and competencies for their discipline.

Stipends Rate and Tuition Remission

The University provides a financial support to its appointed graduate students to assistantship via offering tuition remissions and monthly stipend based on the appointment status and registered credit hours. Graduate assistant's stipend rates are annually set by the University. The rate differs according to the appointment status of the graduate assistant, whether full-time or part-time.

28 Personnel Records

The University maintains records for its full-time, visiting, part-time faculty members and staff that includes the history and status of the entire employment relationship. The University retains the personnel documents to use, analyze, and report information for decision making. Personnel records comprise information such as emergency contacts, addresses, tracking of the performance reviews, disciplinary letters, acknowledgment of the staff and qualifications, credentials, recruitment, and appointment information. Accrediting bodies, labor and legal authorities require information of personnel, therefore maintaining accurate, up to date personnel files is a significant function to the University compliance with relevant authorities. This policy provides guidance and direction on the management of employees' records and information at the University throughout the employment lifecycle to ensure these employee records are complete, accurate and safe.

Scope

This policy applies to all University employees which include but are not limited to, academic and non-academic staff, full-time and part-time employees, and to candidates seeking employment in these classifications for positions.

Definitions

The personnel record files are historical record that consists of employment-related or personal information gathered by the University about any current employee, former employee or an applicant.

Employment-related Information consists of information related to the application of an employee, selection, appointment, employment contract, promotions, demotions, and transfers, compensation, leave, benefits, etc.

Personal Information consists of the home address of an individual, social security number, medical history, marital status, etc.

Statement

The Human Resources Department is responsible to maintain an official personnel file both hardcopy and softcopy with an external backup for each faculty and staff member, whether full-time, part-time or an intern.

Storage and Confidentiality of Personnel Records

The University strictly maintains the confidentiality of the employees' personnel record under its custody. The practice of the University is not to release this information except by operation of law.

The personnel record files are all kept within a secured Human Resources storeroom, that is restricted to authorized staff. Only employees designated by the department head can access the storeroom, and the human resources information system profiles.

Personnel Record Access

The storage, safe custody and access to personnel files must be consistent throughout the employment lifecycle, and easily reached by the designated executives for different purposes including requirement of government bodies or legal purposes.

Any requests for access to staff personnel information from any person except the subject employee or the employee's supervisors must be referred to the Human Resources Department.

It is the responsibility of the Vice President of Academic Affairs/Provost to review the educational qualifications of the Academic staff, implement and execute the promotion/demotion/investigation procedures and provide appropriate records for the personnel files. Any request for access to faculty personnel information from any person except the subject faculty or the faculty's supervisor must be referred to the Office of the Provost.

Maintaining Personnel Records

The Human Resources Department is responsible for ensuring adherence and compliance of the defined policy and conducting periodic reviews and audits to ensure that necessary documents have been filed and completed, date sensitive documents have not expired and to ensure compliance of the University requirement and accuracy of the employee information and documentation.

All employees are responsible to promptly notify the Human Resources Department within a maximum 30 days of any changes in personal data such as: legal name, change in marital status, personal mailing address, mobile and home telephone number, dependents' information's, person to contact in case of emergency and any other information.

Retention and Disposal

The Human Resource Department maintains hard copy records of interviewed candidates for at least a period of one year and at least two years for soft records. In addition, maintaining employee personal files for all leavers for at least 3 years. All personal file related to an employee who has been under a legal case, must be kept at all the time. Furthermore, a regular disposal plan for documents that have met or exceeded this record retention requirement will be done via shredding.

29 Code Of Conduct and Disciplinary Actions

All Academic Staff should adhere with the highest professional expectations and to the ethical standards. Working in a higher education institution is considered to be a significant responsibility to support students, other University community members, and to serve the public interest in accordance with the laws and regulations. This policy provides a guideline on disciplinary actions to be taken against academic staff who violates the expected standards of conduct in line with the University policies and in compliance with the UAE laws to provide a safe and adequate work environment for all colleagues, students and all other partners of University.

Statement

Full time, visiting and part-time academic staff shall perform the duties assigned in accordance to the employment contract, applicable University laws and codes of conduct. In addition, academic staff are required to comply to the generally recognized professional norms of conduct, for which formal disciplinary guidelines have not been established. Academic staff must uphold an exemplary relationship with colleagues, students, and the community while reflecting well upon the values of the University and the United Arab Emirates.

Policy Applicability

The policy is applicable on all academic staff which consists on full time, visiting, and part-time academic staff members, academic administrators that consist of associate deans, assistant to deans, deans, and academic vice presidents and Program Director/Chair of Department.

Academic Staff Code of Conduct

Adapted from the AAUP 1966 Statement on Professional Ethics that defines the “duties” in the 1940 statement of Principles on Academic Freedom.

- » Academic staff inspire students to pursue knowledge and learning to which the free expression of ideas and exchange of perspectives without fear of repercussion is promoted and safeguarded, while academic staff uphold their responsibilities to manifest respect and dignity for students and value themselves as exemplary scholars in terms of ethical practices in their disciplines.
- » Academic staff uphold the integrity of the student-academic staff relationship as demonstrated in the adherence to ethical academic behavior that guarantees fair and impartial merit-based student evaluations.
- » Academic staff avoid discrimination or unfair treatment of students and protect their academic freedom and interest.
- » The academic staff, motivated by a strong belief of the importance and integrity of the development of science, recognize the unique responsibilities imposed upon it, and state the facts as they see it.
- » They recognize the responsibility to exercise essential self-discipline and judgement in the submission, extension, and transmission of knowledge. They exercise moral integrity and strive never to substantially obstruct or undermine their primary duty.
- » The Academic staff are responsible for determining the teaching methodology in line with the approved course syllabus. The Academic staff recognize the academic freedom as a fundamental part of classroom experience.
- » Academic staff avoid harassment and discrimination against colleagues. They respect the opinion, ideas, and disapproval of others.

- » Academic staff contribute in developing and reviewing the institution's policies and procedures and undertake their responsibilities for the governance of their institution.
- » As members of society, academic staff determine the importance of their own duties in the light of their contributions to their students, their peers, and their institution. When expressing or behaving as individuals, they avoid giving the appearance of expressing or behaving on behalf of their institution.
- » Academic staff 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;

Disciplinary Scope

Applicability of misconduct include, but are not limited to:

- » Violate any area in the *Academic staff Code of Conduct, University policies, and employment contract*.
- » Any official action, circumstance or decision resulting to a conflict of interest between personal activities and the interests of the University or its community. *Please see conflict of interest Policy*.
- » Any personal advantages or interests can be obtained by means of the essence of their job employment or their position as University academic staff; and this direct or indirect personal interest may influence their decision or duties. *Please see to Bribery Policy*
- » Any implicit or explicit disrespect, harassment, or discrimination to members of University or its community individual's personal quality regarding their values, beliefs, nationality, race, social status, age, gender, or based on disability.
- » Academic staff are dedicated to carrying out the job instructions they receive from their supervisors; if these instructions might contradict or violates the ethical standards, UAE applicable laws, or the University policies and procedures, they shall clarify this in writing to their immediate superior.
- » Violate or disregard the secrecy and confidentiality of information of University or its community members. No University data may be published, used, stored, transmitted, or removed information, unless in the exercise of their duties or as allowed by information regulation or for the purpose of publication, with prior written authorization, even after leaving the University. *Please See data/information Policy*.
- » Avoid or refuse to hand over any property and belongings to the University after leaving the University, (documents, official emails, files, software licenses – hard copy or soft copy), unless such disclosure is expressly permitted by University policies or employment contract.
- » Considerable personal misconduct which makes the person unfit to interact with student or colleagues, or other members of the University community.
- » Ignore or disobey their superiors' directives, guidance, and instructions in accordance with the administrative hierarchy.
- » Neglect their duties or behave in a way that can lead to delay, impede, or disrupt the University service, or demonstrate incompetent performance. *Please See Performance Policy, and Faculty Role Policy*.

- » Perform unlawful means to disrupt the university's functioning and/or reputation or impede other members of the University community from carrying out their responsibilities.
- » Violate any conduct of research, or perform any intentionally an unintentional falsification, plagiarism, conflict of interest or any form of misconduct. See Ethical Research Policy.
- » Academic staff are obliged to ensure that they are suitably and conservatively dressed to preserve the reputation and appearance of the University and to comply with any specific rules established by the department of human resource and in a manner that is appropriate to the requirements of their employment, customs and traditions prevailing in the United Arab Emirates.

Discipline Principles

While the University regulations and the employment contracts authorize discipline administration, it cannot be exercised in a subjective or inappropriate manner. Furthermore, University regulations grant academic staff the right to use the grievance and appeal system. The University adheres to implement an effective disciplinary framework that ensures that appropriate code of good conduct is communicated and accessible to all academic staff s, and that all due process regulations are fulfilled.

The University discipline principles encompasses the following:

- 1) Promptly discipline, disciplinary decisions shall be taken within a reasonable timeframe from the reporting the violation, through the investigation, until the disciplinary action is initiated.
- 2) Corrective discipline, disciplinary measures are not intended to punish the academic staff, and should instead be devised to spur academic staff s' behavior and/or responsibilities.
- 3) Progressive discipline, disciplinary actions to academic staff s are determined gradually from minor to severe measures based on the nature, frequency, and history of violations.
- 4) Apparent discipline, University policies and procedures, code of good conduct, and behavioral expectations are communicated and accessible to all academic staff.
- 5) Consistent discipline, disciplinary actions are built on objective, sound judgement and rational consideration for all academic staff s regardless of the position, rank, or years of experience. Disciplinary measures are appropriate to the nature, frequency, and history of violations.
- 6) Evidence Based discipline, disciplinary actions are considered on the basis of comprehensive and impartial investigation driven by facts and proofs.
- 7) Right to appeal, academic staff disagrees with the investigation findings and/or disagrees with the disciplinary measures imposed, or denies the due process, he/she may appeal to the President.

Responsibility of Disciplinary Imposition

The direct supervisor or (any higher-level administrative hierarchy) is responsible for reviewing disciplinary claims, after rational deliberation with direct higher-level administrative (college dean and/or vice president for academic affairs) may warrant disciplinary actions or decide whether a disciplinary committee should be conducted.

if the supervisor receives allegations against any academic staff, the supervisor shall immediately request for direct higher-level administrative to review the case, if the allegations are evident,

after rational deliberation with higher-level administrator and based on the type and significance of the violation, appropriate disciplinary measures must promptly be imposed on the academic staff.

An academic staff has the right to respond to the allegations in writing, Supervisor must review the response of the academic staff member (if any) and collect more information before determining whether a disciplinary measure is justified.

Inquiry Committee

In accordance with the *Disciplinary principles*, allegations must be supported by facts and/or evidence, if the allegations require more facts, evidence and information gathering, the supervisor in coordination with the direct higher-level administrative shall promptly form an ad-hoc inquiry committee to gather more information about the allegations. If the inquiry committee result indicates that violation or misconduct was found, the case shall be directed to the disciplinary committee.

Disciplinary Committee

The Committee must adopt the *discipline principles aforementioned in this policy*, other relevant University policies, and applicable UAE laws. The committee performs on the basis of comprehensive and impartial investigation driven by facts and proofs, the committee investigation shall build on the inquiry committee findings. Moreover, the academic staff has the right to review and respond to any presented material or evidence at the hearing.

Any recommendation and/or action shall be taken and issued by the Disciplinary Committee and submitted to the Provost for final decision. Thereafter, notifies the academic staff in writing of the nature of the disciplinary sanction, the reasons for the sanction and the imposed action against the academic staff in the event of repetition of offence (where relevant).The committee recommendation shall be in consistent with the nature of the violation or breach caused by the academic staff. The final decision shall be one or more of the following disciplinary measures:

1. No violation or breach found.
2. Recommendation of formal warning letter.
3. Recommendation of formal final warning letter.
4. Recommendation of a fine depending on the damage/loss and/or violation or breach of the academic staff.
5. Recommendation of suspension of work with salary reduction for a period not exceeding ten days.
6. Recommendation of denial of periodic increment.
7. Recommendation of denial of promotion.
8. Recommendation of terminating the employment contract with remuneration.
9. Recommendation of termination of the employment contract without remuneration.

Disciplinary Measures

Disciplinary actions shall be consistent with the severity of the violation. The decision of necessary disciplinary measures will also take into account whether the academic staff has deliberately and/or voluntarily refused to fulfill the role and responsibilities, or if the academic staff has made an effort to perform the responsibilities. Hence repeated violations of obligations are more significant than first violation. Applicable disciplinary measures are:

Formal Warning Letter

The first step of the corrective action should be devised when informal and verbal feedback have failed to achieve desired change in performance or conduct. The supervisor will contact the Department of Human Resources to review the facts of the situation.

The aim of this step is to create a firm and formal kind of awareness for the academic staff that immediate change in behavior and/or performance is necessary. The interaction during the formal warning letter should be firm and rational and should ensure that the academic staff clearly understands the requirements and expectations that have been developed about the behavior or performance recognized. The supervisor shall bring to attention any fact-base relevant incidents to the situation.

Formal Final Warning Letter

When the academic staff has failed to rectify the issues associated within a written notification step, the academic staff may, where appropriate, have the final chance to address the problem. Based on situation's facts, and in consultation with the Department of Human Resources, the supervisor issues final notification describing the reasons that necessitate reaching to this step, the final notification also outlines the expectations to rectify the problems within defined timelines if not immediately.

The supervisor must clarify to the academic staff the implications of reaching the final warning of the disciplinary action in terms of employment standing with the University. Failure to resolve the problems at this stage shall cause termination of employment. Achieving Good standing can be accomplished by thoroughly and regularly meeting all job roles and expected performance standards for a period of one calendar year. Appropriate academic administrator or department chair/ Program Director must impose the disciplinary measures of written and final warning.

Fines

Recommendation of a fine depending on the damage/loss and/or violation or breach of the academic staff. In case of fine, the fine maybe expressed in terms of a specific amount or an amount equal to the academic staff salary for a specific period. This can be reimbursed as an applicable service or other compensation to be deducted from the academic staff salary. The fine sanction in respect of one violation or breach shall not exceed five days of the monthly salary of each month imposed on him/her. This disciplinary measure can be imposed only by disciplinary committee.

Denial of Periodic Increment

The discipline measure for denial of a periodic increment/reward can only be imposed once a year. This disciplinary measure can be imposed only by disciplinary committee.

Denial of Promotion

The discipline measure for deny of the promotion may not be imposed for more than one promotional cycle. The academic staff shall then be promoted during the following promotional cycle if he/she meets the necessary conditions for such promotion. This disciplinary measure can be imposed only by disciplinary committee.

Employment Termination

If the academic staff has failed to address the problem or produce unsatisfactory outcomes against the agreed written expectations. If employment terminating is reached, the Provost must determine whether to enforce the disciplinary measure after carefully reviewing the evidence and the procedure leading to the recommendation. The employment termination implies that the

academic staff receives all compensation and benefits due. This disciplinary measure can be imposed only by disciplinary committee.

Employment Termination without remuneration (Dismissal)

The academic staff can be terminated without a preliminary record of corrective discipline and with no remuneration if substantial or unforeseen case of significant misconduct been properly evidenced.

In accordance to the United Arab Emirates Labor law, below are offences of serious misconduct that warrant dismissal under this policy, without prior record of corrective discipline nor end of service remuneration:

1. If an academic staff adopts a false identity or nationality or submits forged documents or certificates.
2. If an academic staff commits an error causing substantial material loss to the University.
3. If an academic staff violates instructions concerning safety of the campus.
4. If an academic staff discloses any confidential information pertaining the academic affairs, students, or any component in the University.
5. If an academic staff is awarded final judgement by the competent court in respect of an offence prejudicing honor, honesty, or public morals.
6. If during working hours an academic staff is found drunk or under the influence of drug.
7. If in the course of his work an academic staff commits an assault on the University, the supervisor or any of his/her colleagues.
8. If an academic staff is absent without a legitimate excuse for more 20 (twenty) intermittent days or for more than 7 (seven) successive day for one year.

Disciplinary procedures shall be applied even though the academic staff resigns during the investigation or resigns during imposing the defined sanctions. This disciplinary measure can be imposed only by disciplinary committee.

University Discretion

The method of corrective action outlined in this policy is general in nature and does not warrant any particular course of actions. Depending on the situation, the University reserves the right to alter or change the corrective action process as long as the process is in line with the discipline principles.

Suspension During Investigation

During the investigation, the academic staff shall be suspended and shall not be entitled to the salary. If it is evident there is no truth in the allegation, the academic staff shall be reinstated and paid full pay for the period of suspension.

Record Keeping

Disciplinary case documentations and records shall be retained according to the retention policy and procedures of the University records, *Please see Personnel Records Policy*

Appeal

If the academic staff disagrees with the investigation findings and/or disagrees with the disciplinary measures imposed, or denies the due process, he/she may appeal to the President.

Disciplinary Procedure

1. In case of any breach to the University code of conduct, the Vice President for Academic Affairs Office (VPAA Office) and the concerned dean notifies the faculty member, by e-mail, about the breach information.
2. The VPAA Office submits the case to the Disciplinary Committee with the breach information.
3. 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.
4. The decision of the Disciplinary Committee will be communicated to the VPAA, who will announce it to the faculty member. The final decision will be communicated to the faculty member.

30 Faculty Appeal

To provide an opportunity for faculty to appeal on a decision made by the disciplinary committee in line with the university policies and in compliance with the UAE laws.

Statement

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

The Appeal Committee shall assemble and review the application of the disciplinary procedures and the facts of the prior decision and whether the claims made are fully justified.

The decision of the Appeal Committee shall be conveyed to the Academic Council and communicated to the faculty member. Faculty resignation will not cause cancellation of disciplinary action. Disciplinary action taken by University shall not have any bearing on any criminal or civil records.

Faculty Appeal Procedure

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 Appeal Committee 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 Academic Council within two weeks from processing.
6. The decision of the Appeal Committee shall be communicated to the faculty member.

31 Grievance

The University is committed to providing a workplace where individuals feel free to express themselves and compete for quality with no concerns about obstruction, oppression, or abuse. The grievance is defined as an objection or disagreement raised by an academic staff about an event, circumstance, fact, decision, condition, or issue.

Scope of Policy

The Employee Grievance Policy (the policy) applies to all University members including, full-time, visiting, part-time faculty, and staff, who are currently tenured at the American University in The Emirates (The University).

Statement

The University provides an evenhanded internal resolution for objection or disagreement raised by faculty about a circumstance, fact, decision, condition, or issue between employees or between the faculty and the academic/administrative unit within the University capacity.

Grievance Submission

Faculty may submit official in writing grievances with regard to any part of their employment at the University, 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 can also include official in writing grievances with regards to the end of their probation period and annual performance appraisals in the event where a major disagreement occurs with the direct supervisor on the closing evaluation assessment.

Grievance Phases

The grievance committee shall be formed by a decision of Human Resource Department Head after consulting with the Vice President for Academic Affairs. These members should be well and carefully chosen upon circumstances to avoid any biasing. The grievance committee is required to settle the grievance, In the event where the grievance committee fails to provide a resolution to settle the grievance, the grievance submitter may escalate the grievance to the Provost.

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

Requirements

Grievances should be sensibly and carefully investigated before submitting them. The University does not accept pseudo and groundless grievances. In case of falsification ground for grievance, the Grievance submitter might 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 academic rank of the faculty influenced by the grievance or upper, with the exception of the HRD team member representative designated by the Human Resources Department Head.

Faculty, 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.

Appeal

The employee has the opportunity to appeal on a decision made in line with the University policies and in compliance with the UAE laws. The employee may request to review the decision made by the disciplinary or grievance committee; the appeal Committee shall be nominated by the Provost. The Appeal Committee shall assemble and review the application of the disciplinary procedures and the facts of the prior decision and whether the claims made are fully justified. The decision of the Appeal Committee shall be conveyed to the University Council and communicated to the employee. Employee's resignation will not cause cancellation of disciplinary action. Disciplinary action taken by University shall not have any bearing on any criminal or civil records.

Grievance Procedure

Faculty members are requested to follow the following phases:

Grievance Submission

1. 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.
2. 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.
3. 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 ground for not agreeing with the decision taken by the direct supervisor, or when the grievance itself is made against this direct supervisor.
4. 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.
5. AUE 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 ground 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.
6. In the event where there is no need to form a grievance committee, the Human Resources Department Head in coordination with the concerned 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.
7. In the event where forming a grievance committee is required, the Human Resources Department Head should form a grievance committee in cooperation with the concerned Vice President to tackle each case separately.

Grievance Phases

1. 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,
2. The grievance committee will be chaired by the most senior member, which shall include a number of 2 or 4 members excluding the committee chair.

3. The 4 members are composed of an HRD team member representative designated by the human resources department Head.
4. Additional two members to be appointed by the VPAFA, or the VPAA, or the VPR, 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 the date of the grievance committee establishment.

1. 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.
2. 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.
3. 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.
4. Grievances related to the violation of the UAE public order or religious rites should be transferred to the Institution President Office directly.

32 Health & Safety

The American University in the Emirates (AUE) implements its Occupational Health Safety & Environment Management Systems (OHSE MS) according to the University Strategic Plan. This management system sets out the commitment to a safe and healthy work environment. The OHSE MS was adapted from the Ministry of Education's general framework to identify the hazards that exist within the university and provide control measures to protect the stakeholders. This document referred to as the manual sets out the minimum requirement intended for UAE local legislations and International Standard.

Scope of the Policy

The management system defines health, safety and environment policy, procedures for risk identification and management, accident reporting and investigation, the creation of HSE Committee, emergency management and contractors' management. The management system also provides the criteria for assessment, monitoring and management review for continual improvement.

Statement

The University provides a healthy and secure environment for the campus community and establishing and maintaining safe working environment measures on all activities and limit adverse effects on the environment in so far as is reasonably practicable. In compliance with UAE Federal Labor Law Legal Requirement that specifies certain provisions for employees and students' safety and health care.

Health Safety & Environment (HSE) Committee

The University establishes the Health Safety & Environment Committee to provide communication between employees and management to achieve an effective occupational health safety and environment management system. The committee shall promote cooperation and coordination among employees, staff and students at the University and serves as a link to address health and safety concerns, advice on measures to ensure the wellbeing of employees and students, promote, and advocate best practices.

The HSE Committee shall establish and maintain an effective system in addressing health and safety hazards, emergency management, organizes training for competency and spearheading performance measurement for continual improvement.

Duties and Responsibilities of Faculty and Staff

University faculty and staff are responsible for their own personal safety and shall encourage a safety culture to improve behavior and performance within the university. All admin and faculty staff are accountable to encourage their colleagues to promote safety work practices so as not to cause injury to anyone or themselves. Safety is a commitment by participating or getting involved to prevent something that they observe a dangerous activity. The following duties and responsibilities should be followed and adhered.

- Follow all the prescribed HSE rules, regulations, and safe work methods.
- Maintain proper housekeeping in the work area.
- Use appropriate PPE required for the job.
- Report all the incidents / accidents and emergency as per the HSE requirements.
- Attend all the relevant HSE trainings.
- Co-operate in all HSE related matters with the superiors.
- In case of doubt, consult superiors prior to job start up.
- Drivers shall follow road / traffic safety rules in addition to basic and general safety rules.

Duties and Responsibilities of Students and Visitors

Students and Visitors are responsible for their own personal safety and shall be likewise encourage safety culture with their classmates and colleagues to improve behavior and performance within the University. Students and visitors are expected to follow the University safety rules and regulation and will avoid any actions that will endanger lives and property. Students shall follow general safety:

- laboratory rules and shall always follow the instructions to avoid any accident. In addition, the following duties are expected from the university students for the improvement of the OHSE management systems.
- Participate in the HSE trainings, firefighting and first aid conducted by the university (if available).
- Report any dangerous activities, safety violation, dangerous occurrences and near miss incidents to any university staff, department heads or HSE officer.
- Report any activities that may cause an environmental impact or damage to the surroundings.
- Use issued personal protective equipment (PPE) during laboratory or practical activities to ensure protection and safety against injury.
- Suggest, recommend, complaint or compliment Occupational Environment health and safety management systems as a contribution for its continual improvement.
- Study emergency procedure, evacuation plan, escape routes and assembly points, know their fire wardens and how to operate fire extinguisher. Everyone is responsible for their own personal safety and protection.
- Participate in emergency evacuation drills to be trained for any emergencies that may require evacuation.

Appendix 1: Research Activities Calendar

Conferences\Forums

September 2023	5th AUE Student Research Competition
October 2023	Strategic Management Forum
November 2023	CMMC Forum
November 2023	CCIT Forum (Smart City)
November 2023	CCIT Forum – Knowledge Management
December 2023	International Scientific conference. Collaboration between AUE and Sharjah University
December 2023	CDES Forum
February 2024	Innovation Forum
March 2024	3 rd CLAW Arbitration Forum
March 2024	3 rd AUE- IAGSC
April 2024	COBA Fintech forum
April 2023	COBA/Ryada Forum - Healthcare and Insurance Management
May 2023	6 th AUE - AUEIRC
May 2023	CEDU Forum

Workshops Organized by the Division of Research

Workshops for Faculty:

October 2023	Research Support Procedure Awareness	Faculty
November 2023	Thesis Manual & Supervision	Faculty
January 2024	How to increase citations	Faculty
February 2024	Research Support Procedure Awareness	Faculty
February 2024	Thesis Manual & Supervision	Faculty
April 2024	How to increase citations	Faculty

Workshops for Students:

November 2023	How to write thesis proposal	Students
November 2023	Thesis Manual	Students
October 2023	How to write a research paper	Students
February 2024	How to write thesis proposal	Students
February 2024	Thesis Manual	Students
February 2024	How to write a research paper	Students