



# STAFF HANDBOOK

STAFF HANDBOOK OF AMERICAN UNIVERSITY IN THE EMIRATES

2023 - 2024  
EDITION

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## 1. Introduction

The Staff Handbook is essential to the Employees 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 Staff Handbook is circulated among staff members. Staff 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 Staff Handbook on a regular basis in accordance with what it deems appropriate and fulfilling its interests. The Vice President for Administrative and Financial Affairs, and the Human Resource Department shall inform employees of any amendments made to the Staff Handbook once these are officially agreed upon by the Administrative Council, University Council, and the Board of Trustees.

The staff handbook provide describes the University policies, procedures and processes for managing the institution 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 Staff Handbook and the Policies and Procedures, the latter takes precedence.

## 2. The University

### 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 “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

## 3. UNIVERSITY ORGANIZATIONAL STRUCTURE

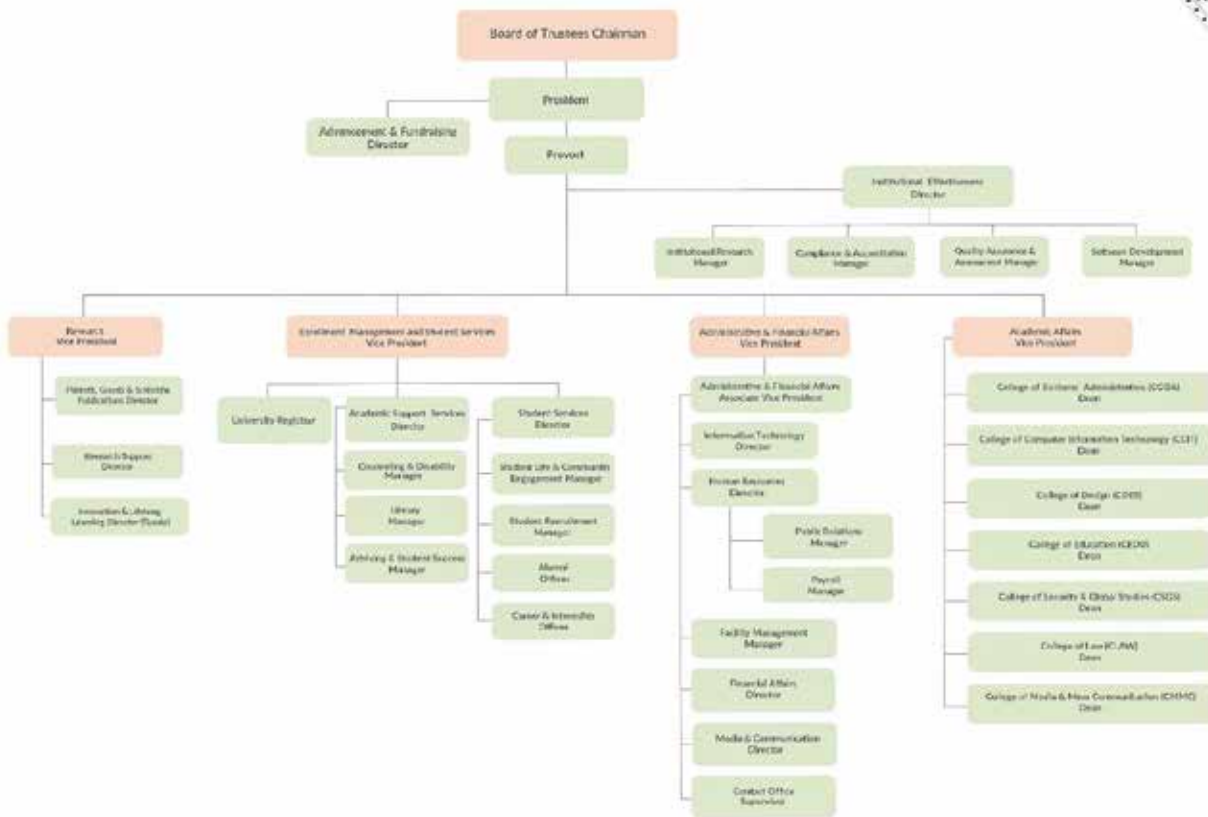
### 3.1. The Board of Trustees

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 Chair of the Board of Trustees	Director, Office of H.H. Sheikh Hamdan Bin Rashid Al Maktoum; Chairman, Al Maktoum College, UAE
Mr. Khalaf Al Qubaisi	Board Member <i>Ex Officio</i>	Chairman, Specialized Investment Group (SIG), UAE
Professor Muthanna G. Abdul Razzaq	Board Member <i>Ex Officio</i>	President of American University in the Emirates, UAE
Professor Jean Keller	Board Member	Professor, University of North Texas, Department of Kinesiology and Public Health, USA
Professor Suzanne Trager Ortega	Board Member	President of the Council of Graduate Schools, USA
Professor Matthew D. Shank	Board Member	President, Marymount University, 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
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)
Dr. Amin Al Amiri	Board Member	Asst. Undersecretary of Public Health Policy & Licensing Sector – Ministry of Health and Prevention – UAE
H.E. Jamal Bin Saif Al Jarwan	Board Member	Secretary-General of the UAE International Investors Council (UAEIIC)



### 3.2. Organizational Chart

The Board of Trustees has approved the new structure of the American University in the Emirates that reflects the new organizational chart described below



### 3.3. 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.

#### **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.

#### **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

#### **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

### **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.

### **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

## **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

## **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.

### **3.4. Supervisory Administrative Staff**

Supervisory Administrative Staff are identified as managers. Among their duties and responsibilities, managers supervise staff in the daily operations of the unit and interpret policies and procedures for staff to ensure understanding and implementation thereof. They organize schedules and responsibilities for team members and evaluate their performance. They also recommend the hiring of new employees, transfers, promotions, and salary actions in their unit.

### **3.5. Non-Supervisory Administrative Staff**

Non-supervisory administrative staff have specific roles and responsibilities to support daily operational functions within the units to which they are assigned. These personnel do not supervise other employees in the institution.

### **3.6. Administrative Support Staff**

Administrative Support Staff carry out tasks that support the operations of the University. Such individuals are part of specialized service providers contracted to provide services such as security, cleaning, facilities maintenance, specified driving, and office assistance. The appointment, evaluation, and deployment of these individuals are the responsibility of the contracted service providers, and they are not classified as part of the institution's regular administrative workforce. The institution evaluates the extent to which such contracted service providers fulfill the terms of the agreed contract.

## 4. PROFESSIONAL STAFF ROLES

As a higher education institution, the University relies on the professional administrative staff to perform all the support functions and services, including Institutional Effectiveness, Human Resources, Financial Affairs, Information Technology, Facility Management, Library, Admission and Registration, Student Services, Student Academic Support, Alumni Services, Career Services, Student Enrollment and Media & Communication. The purpose of this policy is to set clear roles and responsibilities that ensure alignment and clarity in executing the work effectively and efficiently. It aids employees to focus on their job responsibilities and roles to provide support in achieving the Institutional goals and objectives. Moreover, it assists in identifying their scope of work among the governance of the Institution and enables effective communication among various entities and avoids conflict and any overlapping of work and gaps in responsibilities.

The University defines clear job descriptions for each position and appoints professional staff members with appropriate qualifications, skills, and expertise that are sufficient to fulfill their roles and duties. The supervisor of the staff member shall conduct orientation and job training to share the knowledge of the institution and the department and shall define the role, responsibilities, and expectations of the job.

### 4.1. Shared Governance

Professional staff members are required to play a role in the governance of the University by serving as an active member of the various councils and committees by means of providing relevant feedback, responsibly voting, and recommending improvements to policies, procedures, and processes.

### 4.2. Professional Conduct and Ethical Standards

All University employees should adhere to the highest professional expectations and to 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.

Full-time and part-time administrative staff shall perform the duties assigned in accordance with the employment contract, applicable University laws, and codes of conduct. In addition, employees are required to comply with the generally recognized professional norms of conduct, for which formal disciplinary guidelines have not been established. University employees 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.

### 4.3. Professional Staff Job grade

The University has an appropriate job grade compensation scheme that determines the remuneration band earned by an employee. The level of pay is typically determined by the professional staff seniority, experience, the level of duties assigned within the job description.

### 4.4. Teaching Assignment

Based on demand, a qualified professional staff could be assigned for a limited teaching load that can reach up to six-credit hours per semester. Professional Staff assigned teaching load must be qualified to teach the assigned courses and must fulfill the University credentials process and successfully complete the Ministry of Education certificate of equivalency. Teaching load should not affect the primary role of the Professional staff and should be outside of their contractual working hours. The teaching load will be remunerated as per the policy of part-time faculty.

## 5. STAFF APPOINTMENT

The University relies on the professional staff to perform all academic and student supporting services and administrative services. The University is committed to attract and retain competent professional staff that support attainment of the University mission. The policy defines the staff recruitment and appointment framework that adopts careful review of the qualifications, experience, and credentials and follows the principles of integrity and equal opportunities. This policy outlines the appointing full-time, and part time professional staff through three main phases: recruitment, appointment, and onboarding.

The University is committed to attract, appoint, and retain competent diverse professional staff dedicated to complement the institution's efforts to achieve the University mission. Applying consistent and transparent recruiting and appointment process. The University adheres to the principles of integrity and equal opportunity regardless of race, gender, age, religion, or physical ability. The Professional staff are hired based on appropriate qualifications, experience, and contributions that are suited to the field and the level of their position.

### 5.1. Responsibility of the Hiring Unit(s)

The Unit Heads are responsible to identify the need to fill vacant positions and form committees to interview and recommend the successful candidate to be hired. Unit Heads are responsible to follow the recruitment process efficiently.

### 5.2. Role of the Human Resources Department

Human Resources Department is represented in all aspects of the recruitment and selection process and in the appropriate application of the policy. The Human Resources Department will be the point of contact for all hired staff and is responsible for conducting and monitoring the implementation of the recruitment procedure, and for maintaining record of the recruitment process including all recruitment documents.

### 5.3. Confidentiality

The search committees must adhere to the confidentiality of applicant records, interview information, and committee's feedback and comments, applicant privacy must be respected in formal and informal meetings and conversations. Recruitment information can be shared only with appointing involved members.

### 5.4. Professional Staff

Professional staff entitled in this policy includes all non-academic employees, including college coordinators, office assistants, teaching assistants, research assistants, and all staff under the division of the vice president for



administrative and financial affairs, and vice president for enrollment and student services. The scope of the policy does not cover faculty members, academic administrators, academic vice presidents, provost, or President.

## **5.5. Student employment & Assistantship**

Dedicated policies outline in-campus student, and graduate assistant employment in full-time and part-time assistantship within different areas, such as teaching, research, and administrative duties to support them educationally and professionally. Please see Graduate Assistant Policy.

## **5.6. Staff Appointment Plan**

Unit heads initiate and collaborate with their vice presidents to develop staff recruitment plan, the plan defines vacancies and new positions emerging from units' priorities, initiatives, and planning, also resource recruitment planning consider the reflection of the

Potential growth of the student body in the University. The plan sets out the engagement terms, permanent appointment-full time or temporary appointment-part time staff. Furthermore, the plan determines the preferable position, qualifications, and job specifications according to the University paygrade.

## **5.7. Recruitment Ethical Consideration**

Staff 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 Human Resource Department to avoid any conflict of interest before the selection process starts. Furthermore, staff members involved in recruitment process must adhere 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 recruitment involved members.

## **5.8. 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.

## **5.9. Retention of Application Records**

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

## 5.10. Terms of Appointment

### Full-Time Staff Appointment

A full-time staff appointment is defined as a permanent position assigned for maximum of three years, full-time staff are expected to fulfill their role and responsibility as outlined in the job specification. Full-time appointment includes a probation period stipulated in the contract.

### Part-Time Staff Appointment

Part-Time staff appointments are defined as temporary appointments for a limited period of time, part-time staff are assigned mainly to carry out specific assignments within their field of expertise.

## 5.11. Retention of Professional Staff

The University is committed to retain the high competent personnel through various institutional strategies that are developed based on best practices. The practices of the professional staff Retention will apply to all positions, regardless of staff group or seniority. For further information, please refer to the “Faculty and Professional Staff Retention” policy.

## 5.12. Onboarding Process Phase

The onboarding process helps recently joining staff develop awareness of their job role and institution’s expectations and improve emotional and social transition to gain overall working environment comfort. The onboarding process is a critical phase that guide new joining staff with institution characteristics, qualities and culture that intends to familiarize them through long-term ongoing transition activities which will accelerate adjustment to the new workplace, boost productivity and improve retention.

## 6. STAFF EMPLOYMENT CONTRACT

This section confirms the contract's information, working hours, absenteeism and tardiness, monthly schedules preparation and submission, and overtime University staff members.

Adherence to this policy is major and fundamental to ensure the UAE Labor Federal Law legal compliance and the efficacious operation of the University.

### 6.1. Probationary Period

The probation period for all staff is limited to six months from the official joining date as a Full-Time employee. During the probationary period, the line manager shall initiate an evaluation report with a recommendation as to whether or not the employment should be continued.

### 6.2. Length of Contracts

The employment contract is concluded for a specific term not exceeding (3) three years and it is permissible, by agreement of both parties, to extend or renew this contract for another similar term or for a shorter term, for once or more.

## Contract Renewal

### 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 Equivalency Degree Certification:** Upon appointment, all full-time employees are required to obtain an equivalency 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 equivalency degree certificate, 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.

### 6.3. Continuation of Employment

To continue full-time employment, an employee must meet the below:

- a. **Completion of Probationary Period:** Upon completing the probationary period mentioned above, full-time employees will receive an official letter of continuation of employment subject to meeting all necessary standards, as stated in the associated job role.
- b. **Annual Performance:** Employees must complete an annual performance assessment derived from the position job description and success criteria. (Please see Faculty and Staff Performance Evaluation Policy).

### 6.4. Work Week

The University operates seven (7) days a week, and thirteen (13) hours per day (8:00 AM to 9:00 PM). The weekly closure system is not applied by the University. Full-time staff members work 40 hours per week, consisting of eight (8) hours per day for five (5) days per week. The standard compulsory working hours are 8 hours. The announcement of the starting and ending daily time is announced by the department. Further part-time staff members working hours are built on a schedule determined by the direct supervisor and employee to meet the needs of the department and/or college.

### 6.5. Attendance

Attendance is one of the principal factors in evaluating employee's performance. Employees are expected to adhere to their work schedule designated by the department.

All full-time employees shall complete 8 working hours per day, excluding lunch break, equivalent to 40 working hours per week. Employee shall work five (5) days per week, with assigned working hours during the hours of university operations based on the academic schedules and other departments requirements.

Similarly, salaried part-time employees shall comply with the required working hours per week and as per the department schedule.

Excessive absenteeism and tardiness cause some disruption in the operation of any department. The work would be interrupted and cause an additional burden to co-workers in place. This may lead to inefficiency and unproductivity of an employee. However, there are absenteeism and tardiness that cannot be avoided. It is expected to properly notify the supervisor in advance if the employee is unable to report to his/her duty on time. The Head of the Department has the discretion to evaluate each circumstance and determine whether or not to count the incident as an occurrence. University records the attendance using either fingerprint or facial recognition system.

## 6.6. Definitions

- Absent – When the staff fails to report to work without notifying the immediate supervisor and prior approval.
- Tardy – When the staff member fails to report on time or leaves work prior to the end of his/her designated work schedule without the supervisor's prior approval, also frequent breaks, or obvious break extensions.
- Missing Checking in or Out: Staff members might be on duty but missed to check-in or out; such incidents should be reported to the Human Resources Department to document the check-in or out.

## 6.7. Notification Procedure

- The employee must request/notify in advance his/her immediate supervisor if he/she will be late for work or will not be at work.
- Prior approval must be secured before changing any schedule if the employee wishes to arrive early or leave early from the assigned department schedule.
- If the employee wishes to leave early from work, a short leave form must be filled up and must be approved by the Supervisor or the department-in-charge in the absence of the supervisor.
- If the employee is not able to report to work due to an assignment outside the Campus or will be away due to attending an official Meeting/Conference/Training/Business Trip, the employee should fill in the Itinerary Form, and should be submitted to HRD/Payroll Division to note down the non-attendance of their staff.
- The employee must check his/her attendance on a daily basis and report to the Human Resources Department if there's an issue in the attendance record within the period of 48 hours.
- During Sick Leave, the employee must notify his/her supervisor and must apply immediately for sick leave upon resumption to duty.

Failure to adhere to the above notification procedure will lead to disciplinary action depending on the number of occurrences.

## 6.8. Reduction in Force

While job security is important to everyone, it is sometimes necessary for the AUE to lay off staff members for lack of work, loss of funds, reorganization, outsourcing the service, or other similar reasons. If this occurs, every effort will be made to find staff members another job.

## 6.9. Conflict of Interest

All AUE employees should avoid all kind of activities or situations that may put personal interests before their professional commitments to the university by establishing standards and guidelines that guarantee integrity and transparency of all employees' actions.

### **Conflict of interest form**

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 is 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.

Employee 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.

Employee 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.

Employee shall not enter into any implicit or explicit Contractual agreement with any third party which might impose restrictions and affects or limits the employee'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., as stated in the "Anti-Corruption and Bribery Policy".

## 6.10. 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, administrative staff, 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, and 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.

Academic and administrative staff 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.

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. Furthermore, 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.

## **6.11. Nepotism**

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 encourages and accept referral from our employees to recommend friends and relatives and may employ family members as long as it does not cause any favoritism, discrimination, or conflict of interest.

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.



## 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.

## Hiring of Relatives

Hiring of relative should follow a strict hiring procedure and is based solely on the skills, experience, and profile required for the position. The University will make appropriate decisions 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 approval is obtained from the concern 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 relatives 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.

## 6.12. Legal Policy

The University handles its legal affairs through its outsourced attorney entity. The authorized attorney Office provides advice on labor and employment, intellectual property, contracts, and any other legal matters. The authorized attorney Office can represent the University in official entities.

Further, The University makes all efforts to resolve any employment dispute with its faculty and professional staff. In case it is not resolved, the case is escalated to official authorities, hence, the authorized attorney Office represents the University and handles the legal procedure.

## 7. CODE OF PROFESSIONAL ETHICS

All University employees should adhere to the highest professional expectations and 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 guidelines on disciplinary actions to be taken against employees who violate the expected standards of conduct in line with the University's 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.

Full-time and part-time administrative staff shall perform the duties assigned in accordance with the employment contract, applicable University laws, and codes of conduct. In addition, employees are required to comply with the generally recognized professional norms of conduct, for which formal disciplinary guidelines have not been established. University employees 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.

### 7.1. Job Responsibilities and Work Commitment

- Employees are not allowed to delegate the task of carrying out their tasks to others unless specifically authorized in writing by the University or by their supervisor.
- Employees are dedicated to the performance of their function and assigned duties with accuracy, reliability, and good faith.
- Employees should perform their duties promptly, precisely, objectively within a reasonable timeframe in accordance with best practice.
- Employees are required to perform their duties within a defined timeframe. If such a timeline has not been specified, their tasks must be carried out within a fair timeline.
- Employees are required to start work at the beginning of official working hours, whether physically on campus or remotely. They are also required to be present during official working hours in order to perform their duties and positions.
- Employees should not hesitate to work outside the official working hours. If that is necessary for the institution or to ensure that university services are not disrupted. This should only be requested by a direct supervisor.
- Employees should read all applicable University policies and procedures and any United Arab Emirates regulations pertaining to their duties and remain aware of any announcements, communications, or updates related to the institution or their affiliated department or unit.
- It is the employee's accountability to perform any tasks assigned to them that is relevant in nature, even if they fall outside the scope of their usual duties and responsibilities. Employees cannot be reluctant to such tasks as long as their immediate superior has given the instructions.
- Employees are dedicated to the achievement of excellence in individual and team performance. They should avoid performing in a way that relies entirely on the experience or abilities of their superiors or colleagues. They are expected to improve their knowledge, skills, and skills through ongoing self-improvement, learning, and training.

- Employees are expected to assist their supervisors, peers, and other University community members in improving their knowledge, skills, and competencies and to enable them to accumulate and exchange knowledge pertaining to the institution and affiliated unit.
- Employees are motivated to the continuous performance of their roles and obligations in order to ensure that the University service is not interrupted. They must not neglect their duties or responsibilities, which may lead to a delay, disruption, or obstruction of the service or which may affect the performance of the service.
- To maintain the institution's service availability and avoid any operational interruption, employees are expected to inform their immediate supervisors thoroughly and specifically of all problems and concerns relevant to the nature of their jobs.

## 7.2. Courtesy and Respect

- Employees should respect their supervisors and colleagues and, in all expression interactions in compliance with social norms and professional ethics, behave with discretion, experience, objectivity, neutrality, and impartiality.
- Employees should be respectful to the students, faculty, and all members of the University community with whom they come into contact due to the nature of their duties and their performance.
- Employees should prevent, verbally, or in writing, any personal or professional abuse to their supervisors or colleagues. Any professional difference of opinion must be resolved through facts and figures relevant to the work.
- Employees must always respect their supervisors, peers, and all university community members, and their interaction should be free of discrimination, harassment, violence, and indecent words.
- Employees are expected to perform their duties while considering the health and safety of the workplace and the safety of all members of the University community and the general public.
- Employees are expected to communicate with and express views with colleagues in a highly professional and impartial manner. They are also required to provide assistance wherever possible in order to solve any problems they face in the workplace.
- Employees are expected to promote a positive climate among their colleagues in order to help enhance efficiency, improve the working environment, and reinforce the University's core values and positive culture in the workplace.

## 7.3. Privacy and Confidentiality

- Employees must respect the secrecy and confidentiality of information of the University or its community members. No University data or information 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.
- Employees shall take all required precautions and security measures to ensure that University data and information (including but not limited to any student records, student personal information, faculty, academic programs, minutes, any hard copy and soft copy files belong to the University, its community,

or its wider affiliated entities) is secure, against loss, access, usage, alteration, disclosure, or any other manner of misuse of such information.

- Employees shall hand over any property and belongings to the University after leaving the University (documents, official emails, files, software licenses – hardcopy or softcopy) unless such disclosure is expressly permitted by University policies or employment contract.
- Employees shall take necessary steps, whenever possible and as situations may warrant, to protect the information of students, to any person whose information is gathered in the name of the official(s) to whom the information is to be given.

## 7.4. Interaction with others

Any employee with a supervisory and/or managerial role shall take all required steps to monitor and track the subordinate employees consistently and ensure high performance and productivity.

Employees must obey superiors' directives, guidance, and instructions in accordance with the administrative hierarchy.

Employees 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.

Any official action, circumstance, or decision resulting in a conflict of interest between personal activities and the interests of the University or its community.

Any personal advantages or interests can be obtained by means of the essence of their job employment or their position as a University employee, and this direct or indirect personal interest may influence their decision or duties.

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.

Employees 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.

## 7.5. 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 employees 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 employees, and that all due process regulations are fulfilled.

The University discipline principles encompass 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 employee and should instead be devised to spur employees' behavior and/or responsibilities.
3. Progressive discipline, disciplinary actions to employees 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 employees.
5. Consistent discipline, disciplinary actions are built on objective, sound judgment, and rational consideration for all employees 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, employees can file an appeal, employees can submit additional information, and evidence deemed to be applicable to the issue should be submitted for consideration.

## **7.6. 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 (director and/or administrative vice presidents) may warrant disciplinary actions or decide whether a disciplinary committee should be conducted.

If the supervisor receives allegations against any employee, the supervisor shall immediately request for direct higher-level administrative to review the case. If the allegations are evident, after rational deliberation with the higher-level administrator and based on the type and significance of the violation, appropriate disciplinary measures must promptly be imposed on the employee.

Employees have the right to respond to the allegations in writing, and the supervisor must review the response of the employee (if any) and collect more information before determining whether a disciplinary measure is justified.

## **7.7. 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.

## **7.8. 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.

Hearing sessions are required to reveal the facts with all involved individuals in the case. Moreover, the employees have 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 a final decision. Thereafter, the committee notifies the employee in writing of the nature of the disciplinary sanction, the reasons for the sanction, and the imposed action against the employee in the event of a repetition of offense (where relevant). The committee recommendation shall be consistent with the nature of the violation or breach caused by the administrative 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 employee.
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.

## **7.9. 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 employee has deliberately and/or voluntarily refused to fulfill the role and responsibilities, or if the employee has made an effort to perform the responsibilities. Hence repeated violations of obligations are more significant than a 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 the 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 employee 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 employee clearly understands the requirements and expectations that have been developed about the behavior or performance recognized. The supervisor shall bring to attention any fact-based relevant incidents to the situation.

### **Formal Final Warning Letter**

When the employee has failed to rectify the issues associated with a written notification step, the employee may, where appropriate, have the final chance to address the problem. Based on the situation's facts, and in consultation with the Department of Human Resources, the supervisor issues a final notification describing the reasons that

necessitate reaching 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 employee 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. The respective head of department 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 a fine, the fine may be expressed in terms of a specific amount or an amount equal to the employee's salary for a specific period. This amount will be deducted from the employee's 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 a 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 a disciplinary committee.

### **Denial of Promotion**

The discipline measure for deny of the promotion may not be imposed for more than one promotional cycle. The employee 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 a disciplinary committee.

### **Employment Termination**

If the employee has failed to address the problem or produce unsatisfactory outcomes against the agreed written expectations. If employment terminating is reached, the Vice Presidents 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 employee receives all compensation and benefits due. This disciplinary measure can be imposed only by a disciplinary committee.

### **Employment Termination without remuneration (Dismissal)**

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

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

1. If an employee adopts a false identity or nationality or submits forged documents or certificates.
2. If an employee commits an error causing substantial material loss to the University.
3. If an employee violates instructions concerning the safety of the campus.
4. If an employee discloses any confidential information pertaining to the academic affairs, students, or any component in the University.



5. If an employee is awarded a final judgment by the competent court in respect of an offense prejudicing honor, honesty, or public morals.
6. If, during working hours, an employee is found drunk or under the influence of drug.
7. If, in the course of his work, an employee commits an assault on the University, the supervisor, or any of his/her colleagues.
8. If an employee is absent without a legitimate excuse for more 20 (twenty) intermittent days or for more than 7 (seven) successive days for one year.

Disciplinary procedures shall be applied even though the employee resigns during the investigation or resigns during imposing the defined sanctions. This disciplinary measure can be imposed only by a 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 action. 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. The University reserves the right to skip any step in the discipline process depending upon the severity of the offense

### **Suspension during Investigation**

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

### **7.10. Record keeping**

Disciplinary case documentation and records shall be retained according to the retention policy and procedures of the University records.

### **7.11. Appeal**

If the employee 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.

### **7.12. Disciplinary Action Procedure:**

The employee will be informed by the concerned Vice President Office on the potential breach of code of conduct and inform that a disciplinary committee will meet and review the case

The Vice President Office submits the case to the Disciplinary Committee with the issues pertaining to disciplinary issue, within the two (2) working days.

The disciplinary committee meet and review all the fact and vote for the decision before concluding.

The decision of the Disciplinary Committee will be communicated to the Vice President.

The Human Resources Department will communicate the final decision to the staff member.

The Human Resources Department keep the records in the employee file both soft and hard personal file.

## 8. COMPENSATION AND BENEFITS

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

### 8.1. Full-Time Staff

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

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

Full-time Administrative staff salary is calculated based on the qualifications, experience, and any other relevant experience related to their jobs. The University will follow a salary scale for each administrative rank.

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

- Basic Salary (based on the qualification)
- University Allowance
- Special Allowance (based on the prior work experience)
- Accommodation Allowance (based on grade and qualification)
- Transportation Allowance (based on grade and qualification)
- Position Allowance (in case of holding administrative position)

### 8.2. Part-time Staff

Part-time Staff members receive their salaries based on the contractual hours, 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 resources Department.

### 8.3. Increment and Reward

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

### 8.4. Overtime

Overtime should be avoided except in farthest or special conditions and then should be approved in advance and kept to a minimum. The University provides its staff with two (2) days off per week. These two days are chosen by

the direct supervisor based on the work requirement; they could be any two days from Saturday, Sunday, Monday, Tuesday, Wednesday, Thursday, and Friday.

Furthermore, the time traveling to and from work, and the time used for resting and food break is not included in computing overtime. It is important to note that the request for overtime cannot exceed two hours of work per day. The University calculates the overtime as per the UAE Labor Law.

## 8.5. Benefits:

### Housing

The housing allowance is one of the main salary breakdown components for all staff members; details can be found in their employment contract and both hard and electronic files.

### Transportation

The transportation allowance is one of the main salary breakdown components for all staff members; details can be found in their employment contract and both hard and electronic files.

### Travel expenses

Staff members are eligible to receive a return air travel ticket for himself/herself only, upon completion of each one year of continuous employment, in Economy Class from UAE to the Capital of Country of Origin based on the passport utilized for visa stamping, subject to the presence in the UAE.

Managers and Directors are eligible to receive return air travel tickets for himself/herself, and 50% of the best available air travel fare for spouse and up to two children residing in the UAE (18 years and below) upon completion of each one year of continuous employment, in Economy Class from UAE to the Capital of Country of Origin based on the passport utilized for visa stamping, subject to the presence in the UAE.

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

### Limitations

- Where a spouse is working elsewhere within the UAE, a non-duplication form duly filled and signed by the spouse's employer covering travel benefits is to be provided to the HRD.
- All Administrative employees are eligible to receive cash in lieu of return air travel tickets, based on IATA yearly updated rate.

### Repatriation

At the end of employment, Administrative Vice Presidents are eligible to receive one-way air travel tickets to the Capital of the Country of Origin for himself/herself, spouse, and up to two children residing in the UAE (18 years and below), in business class based on the passport utilized for visa stamping, subject to the presence in the UAE and completion of required clearance documents.

While Managers and Directors are eligible to receive economy class one way air travel ticket to the capital of the country of origin for himself/herself, subject to the presence in the UAE and completion of required clearance documents.

Other staff members are entitled to receive a one-way air travel ticket to the capital of the country of origin for self only on economy class and based on the passport utilized for visa stamping, subject to the presence in the UAE, and completion of required clearance documents.

### **Limitations**

- This policy is not applicable for administrative employees whose employment is discontinued based on the UAE Labor Federal Law.
- This policy is not applicable to staff members who have ended their employment through resignation and intend to join or joined another employer upon the end of the employment relation, as the latter shall bear the cost of the ex-employee repatriation at the end of his service.

### **Health Insurance**

Medical insurance and health plan are provided to all sponsored AUE employees within the UAE. University Professional administrative employees are eligible for the above mentioned medical insurance and health plan for self only, Administrative Vice Presidents, Administrative manager, and directors are eligible for the above mentioned Medical insurance and health plan for self, spouse, and up to two children residing in the UAE (18 years and below) and under the employee sponsorship.

### **Limitation**

- The employee may, at his/her own expense, add additional medical coverage such as global coverage.
- The health insurance of the other family members of the employee to be prepared after the completion of the residency visa formalities.
- Where the employee medical insurance company imposes an extra policy premium, in cases where the employee has exceeded 65 years of age or any other reason, the latter shall pay the difference.
- Where the University medical insurance company imposes an extra policy premium, in cases where the employee has its spouse or any children with special needs or suffering from critical disease or any other specific reason, the latter shall pay the difference.
- The Medical insurance policy table of benefits, medical insurance company policy provider, and Third-Party Administrator can be changed at any time during the policy or at the expiry date of the policy.
- Where a spouse is working elsewhere within the UAE, a non-duplication form duly filled and signed by the spouse's employer covering Health Insurance benefits is to be provided to the HRD.

### **Education**

Administrative Vice Presidents, Administrative manager, and directors are eligible for an educational allowance to two children residing in the UAE as stipulated in their contracts, subject to;

1. Children under employee sponsorship.
2. From (KG1) to (G12) but not exceeding 18 years old
3. Home teaching of dependents shall not be a part of this contribution.

4. Registration and tuition fees payment valid invoices submission to HRD.
5. Where a spouse is working elsewhere within the UAE, a non-duplication form duly filled and signed by the spouse's employer covering education allowance benefits is to be provided to the HRD.

### **Death / Disability Indemnification**

The University abides by the UAE Labor Law, for "Compensation for Work Injuries and Occupational Diseases".

### **Position Allowance**

Administrative and Academic Staff appointed to an administrative position are eligible for a position allowance to be paid monthly except during annual leave

## 9. LEAVE OF ABSENCE

### 9.1. 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 supervisor to avoid any discontinuation of any of the University functions. The direct 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 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.

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 direct supervisor, any leave beyond the accrual leaves days will be considered unpaid leave.
- During a paid leave, employees' positions may not be filled.

### 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.

### Applying for Leave

- a. A leave request should be submitted through the University Information System (UIS) for any kind of leave an employee wishes to request.
- b. The UIS will automatically indicate the required resumption date based on the entered leave starting and ending dates.

- c. Staff resuming their work after availing any type of leave, except sick leave, should complete 5 to 8 calendar days of work, based on their individual schedule, to start availing their regular scheduled off days.

## 9.2.Sick Leave

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.

### 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.

## 9.3.Maternity Leave

All University Full-time female employees who are legally married should inform their direct 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 for 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 a 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.

### **Nursing break Hour**

Full time female employee who are legally married are entitled to nursing the child, during the 180 days following the date of delivery, are entitled to two breaks each day for this purpose, neither of which shall exceed half an hour (30 minutes each). Nursing break cannot be used at the beginning or the end of the daily working schedule. Female employee must complete the remainder of 40 hours working per week.

## **9.4.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.

## **9.5.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.

## **9.6.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.

## 10. 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 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 all administrative and non-academic staff.

All full-time staff 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.

### 10.1. 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.

### 10.2. 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.

### 10.3. Performance Rating

Each performance criteria must be rated based on the submitted evidence and provided rationale by the employee; the rating is directly associated with the 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 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. The 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.

## 10.4. 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 participants roles are outlined below:

### 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 inductive 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.

### **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.

### **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.

## **10.5. 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.

## **10.6. 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.

## 10.7. 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.

## 10.8. 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.

## 10.9. Administrative Staff Performance Procedures

Senior Management comprises staff members from the senior management such as President, Provost, Vice Presidents, Directors, Managers. Administrative Officers are personnel with all administrative ranks below 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 at three times per the academic year.

- a. Performance Planning (initial conference)
  - i. At the beginning of the academic year, supervisor and employee discuss the planned levels of performance and perceived current levels of performance and review the job description and the position expectations.
  - ii. 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.
  - iii. The success criteria and exceeding criteria should be agreed jointly.
- b. Performance Alignment (interim conference)
  - i. The mid-year conference is an optional performance session, all employees are encouraged to submit a mid-year status report to their supervisors.
  - ii. The mid-year conference is compulsory for newly joined employees and provisional employees with unsatisfactory performance in the previous review.
- 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 the direct supervisor to be evaluated and discussed with his or her supervisor.

### **Evaluation Method for Administrative Staff**

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 the 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%).



## 11. PROMOTION AND TRANSFER

University Staff members are encouraged to develop their abilities and seek progression and development openings. AUE is dedicated to career movement of administrative employees and providing promotional chances to competent, skilled and appropriate employees. It is the policy of AUE to circulate internally any position within an administrative department and to consider existing administrative employees possessing the required qualifications and skills to execute and accomplish the position responsibilities.

### 11.1. Definitions

**Reassignment** means a transfer from one position to another or change in responsibilities in the same unit at the same salary scale and job classification level.

**Transfer** means a transfer from one unit to another at a similar salary scale and continuing in the same or equal job classification level.

**Promotion** means a progression comprising a modification of classification for an administrative employee, within or between budgetary divisions, and may or may not implicate a salary rise. A promotion for the administrative employee may result from a reclassification of a position.

**Salary Increase** means an increase that may result from the assignment of extra responsibilities, a promotion, a reclassification, an assessment or appraisal of employment performance, or an approved increase.

### 11.2. Promotion Procedures

#### **Promotions within the same administrative Department:**

- When a position turns out vacant within a specific administrative department at a non- entry-level position, then selection can be made from qualified existing administrative employees in lower employment level classification within the department.
- If a staff member within the same department is selected for a vacant position, the Department Manager or Director should send a report and a request recommending the employee for the position to the concerned Vice President following the chain of command and the University structure for approval. The Human Resources Department shall examine the job description and employee credentials, experience, and achievements to guarantee that the employee abilities are aligned with the salary scale. Upon recommendation approval, the Department Manager or Director shall process the announcement of promotion through the Human Resources Department Head.
- If a staff member is not selected for the position, an employee request form should be filled and submitted to the concerned Vice President for approval. Upon approval, the position will be advertised with equal consideration provided to both internal and external candidates.

## **Administrative Employee Application for Internal Transfer**

### **Consideration:**

- Any staff member who wishes to be considered for an advertised vacant position is required to submit an official application to the Human Resources Department Head mentioning why does the vacant position should suit him/her more than the current position and attaching his/her updated CV before the deadline specified in the advertisement.
- The Human Resources Department will decide whether the existing staff member who submitted his/her application meets the credentials and, if so, forward the application to the recruitment and selection committee for consideration.
- Staff members will be surely given priority and consideration for any advertised vacant position for which they apply and qualify.

### **11.3. Selection and Transfer**

- Staff members are authorized to apply for transfers into other departments where an appropriate vacant position exists.
- If a staff member is selected for a vacant advertised position, the hiring department Head, in coordination with the Human Resources Department Head, should alert and notify the employee's current Manager or Director of the selection decision.
- Both departments' heads should agree on the official date of transfer.

### **11.4. Promotion Adjustment**

In case of promotion, the Human Resources Department consults the concerned Vice President to determine the appropriate rate of pay according to the available salary scale.

While in case of a lateral transfer within the same job classification, the increase in pay shall not be allowable at the time of transfer.

## 12. SHARED GOVERNANCE

Administrative Vice Presidents, under the supervision of the Provost and University President, have principal accountability to encourage and stimulate cooperative, helpful, and caring working atmosphere, and to defend, hearten, and recognize administrative employees 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 administration, from a governance perspective, is to participate in committees, councils in a positive and productive manner with other staff and faculty members, as they work toward the mutual objective of achieving the University mission.

Staff 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 staff member representative can be part of the Administrative and University councils voting member.

## 13. PROFESSIONAL DEVELOPMENT

The University encourages professional staff to gain more knowledge, expertise, and competencies. Professional development aims to improve the job performance of staff that contributes to the overall units and the institution's resource effectiveness. University supports essential, effective, and meaningful professional development that aid in achieving its mission and goals.

Professional development is a continuous, agile process that relies significantly on providing regular reviews on staff performance and inspiration for career improvement. This policy covers the planning, objective, and support to all forms of professional development and outlines staff eligibility criteria for tuition assistance.

The University allocates an adequate budget to support professional staff development activities to enhance its staff members' skills and job performance. Staff are entitled to participate in professional development activities such as workshops and training sessions with prior departmental approval to incorporate team improvement plans and to ensure efficiency, and to monitor cost implication and return value. The professional development activities are evaluated regularly to ensure their appropriateness and effectiveness.

### 13.1. Planning for Professional Development

Unit heads, in coordination with their staff members, plan essential professional development derived from the job responsibilities and in line with units' objectives and priorities. The unit professional development plan also comprises collective recommended professional development activities yielded from a poor performance assessment of staff.

The forms of professional development activities 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 staff professional development includes:

#### **Job-Specific Professional Development**

Job-specific professional development concentrates on advancement in the field. It directly contributes to the quality, rigor, and innovation of staff job performance. In addition, unit heads may delegate staff to be engaged in new niche areas that contribute to the ambition and planning of the unit.

#### **Performance-Based Professional Development**

On the basis of job performance evaluation, professional staff with low performance scores may be directed to pursue professional development activities in one or more areas; to enhance the underscored areas.

#### **Software Application Professional Development**

Training activities focus on the job-related software applications, system tools applied by the University. This type of training is ongoing, on demand, and whenever new software or new release is launched.

#### **Staff Orientation**

Empowering new joining staff to contribute to their units, necessary information on the job responsibilities and the unit planning efforts in the University, directing the new staff to build awareness of University mission, values,

and policies including health and safety training. Furthermore, other forms of onboarding orientations can be delivered in a series of scheduled training sessions that aim to prepare professional staff in various subject matter assigned.

## **Membership**

The University may cover the expense of institutional-level membership that contributes to the unit and the University. However, only one full collective membership can be obtained per association; thus, if the University has membership by another staff member, additional membership is not necessary. Furthermore, individual-nature membership expense is not covered.

### **13.2. Professional Development Leave**

Professional staff are entitled to professional development activity leave only for face-to-face activities. However, professional development leave might be revoked if the activity is during the unit's critical periods during the academic year or other inevitable obligations. Furthermore, the application for leave shall specify the provision of workload coverage and other obligations.

### **13.3. Professional Development Funds**

All staff with acceptable performance standing who completed the probation period successfully and have an adequate period of service; are eligible for professional development funds. The University allocates a certain amount per academic year per unit during the budgeting process to enable units to plan their staff professional development activities; funds should be used only for professional development direct expense. Units cannot transfer current or previous funds to next year's professional development and cannot share funds with another unit. The professional development funds support event attendance, and registration fees, seminars, or other professional training related to the field and relevant learning resources and supports institutional memberships or subscription relevant to the field.

All spent or received funds during the academic year must be repaid to the University on resignation or job termination.

### **13.4. Tuition Assistance**

Staff can apply for University academic degrees as a part of staff professional development scope, acceptable only for a greater degree; additional academic degree is not part of the professional development scope. Staff willing to join a program should be related to the career development plan and contribute in achieving the institution and unit mission.

#### **Eligibility of Tuition Assistance**

Staff who have an adequate period of service with an acceptable evaluation with no active performance or behavioral-related warning letters; are eligible to apply for tuition assistance after obtaining the necessary approvals. The tuition assistance amount will be budgeted on the unit's annual professional development budget over the projected enrollment semesters.

The tuition assistance does not cover summer terms tuition fees, admission, and any other service fees. Furthermore, receiving University tuition assistance shall provoke all other eligible stipends, grants, or scholarships. Maintaining tuition assistance staff must maintain both adequate work performance, and academic CGPA, and should remain enrolled throughout the academic program period.

## 14. PROFESSIONAL STAFF RETENTION

The AUE recognizes that the ability to recruit and retain high caliber staff is an 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 University is committed to retain the highly competent 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.

### 14.1. Employees' Orientation and Onboarding

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

All staff will attend the mandatory health and safety training. All staff should have an onboarding plan in place and should be assigned a mentor who will be appointed by their line manager.

HRD provides an orientation session to new employees, where they get a brief on the organization structure, objectives, and activities, as well as the human resources policies and procedures, employment regulations, and entitlements.

The department provides the new employee with the position description and arranges meetings with the other concerned parties to brief the employee on their department/college activities and their responsibilities.

### 14.2. 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.

### 14.3. 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 the job's expectations, performance objectives, performance standards, and personal goals.

### 14.4. Staff Professional Development

The University is committed to provide professional development opportunities and training programs to 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.

### 14.5. 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.

## 14.6. Staff Benefits

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

## 14.7. Flexible Working

AUE provides employees opportunities 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 for health, transportation, family, or education.

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 supervisor's approval 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 evaluations lower than 69%.

## 14.8. 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 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.

## 14.9. 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. 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. A grievance is defined as an objection or disagreement raised by an academic or administrative staff about an event, circumstance, fact, decision, condition, or issue.

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

### 15.1. Grievance Submission

Employees 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.

Employees 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.

### 15.2. Grievance Phases

The grievance committee shall be formed by a decision of the Human Resource Department Head after consulting with the concerned vice president 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. 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's Office directly.

### 15.3. 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 employment grades or academic rank of the employees influenced by the grievance or upper, with the exception of the HRD team member representative designated by the Human Resources Department Head.

Employees, including managers, directors 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.

## 15.4. Appeal

The employee has the opportunity to appeal a decision made in line with the University's 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.

## 15.5. Grievance Submission

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.

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.

All employees have the privilege to submit the relevant grievance to the next managerial level, following the Institution structure and chain of command, in the event where the direct supervisor disregard it or fails to settle it within 7 calendar days or the complainant has a valid grounds for not agreeing with the decision taken by the direct supervisor, or when the grievance itself is made against this direct supervisor.

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.

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.

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.

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.

## 15.6. Grievance Phases

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,

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.

The 4 members are composed of an HRD team member representative designated by the human resources department Head.

Additional two members to be appointed by the VPAFA, or the VPAA, or the VPR, or the VP EMSS, 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.

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.

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.

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.

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

## 16. 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.

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.

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.

### 16.1. 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.

### 16.2. Duties and Responsibilities of Academic and Administrative Staff

University academic and administrative staff are responsible for their own personal safety and shall encourage a safety culture to improve behavior and performance within the university. All academic and administrative 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.

### **16.3. 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.

## 17. PERSONNEL RECORDS

The University maintains records for its full-time, part-time 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, qualifications, credentials, recruitment, and appointment information.

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

### 17.1. 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** includes information related to an individual's application, selection, appointment, contract of employment, promotions, demotions, and transfers, salary, leave, benefits, etc.

**Personal Information** includes an individual's home address, social security number, medical history, marital status, etc.

### 17.2. Storage and Confidentiality of Personnel Records

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

### 17.3. Personnel Record Access

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

Any requests from any individual for access to personnel records except the subject employee or the superiors of the employee shall be referred to the Department of Human Resources.

### 17.4. 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 ensure compliance of the University requirement and accuracy of the staff information and documentation.

All staff are responsible to promptly notify the Human Resources Department within a maximum of 30 days of any changes in personal information, including; the legal name, change of marital status, personal mailing address, mobile and home telephone number, details of dependents, contact person in the event of any emergency and for any other information.

## 17.5. 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, it is maintaining employee personal files for all leavers for at least three years. All personal files related to an employee who has been under a legal case must be kept at all the time. A regular disposal plan for documents that have met or exceeded this record retention requirement will be done via shredding.

## 17.6. Personal Record Procedure:

Before an employee joins the University, the below steps will be followed:

1. The Human Resources Department will request qualification, personal identification record.
2. The Human Resources Department will upload these documents.
3. The Human Resources Department will keep track of the received documents and pending documents upon joining.
4. Upon joining of a new employee and receipt of the required documents, the Human Resources Department will create three profiles and upload/file all the documentation as follow:
5. The Human Resources Department uses the “New Joiner Checklist” for the new joiner to ensure completion and accuracy of the necessary documentation, which will be reviewed by the HRD Director.
6. The Human Resources Department will report missing documents and outdated documents and or information.
7. The Human Resources Department request missing or outdated documents from the employee by email.
8. The Human Resources Department will collect and update the records.

At the beginning of each academic year

9. The Human Resources Department will circulate an email notification with the Employee Information Form to request updating their information and resume using the university template.
10. The Human Resources Department will add new/updated documents to their personnel files and submit an updated version of their resume.
11. As and when new documents are received:
12. The Human Resources Department will file all documents related to the employee such as updated status change such as promotion, transfer, salary adjustment, academic administration position appointment, training

certificates, professional certification, awards certificate, university rewards, renewed identification documents, employee evaluation, grievance and disciplinary actions, promotion.

13. The HR representative will file all documents related to the leavers (resigned or terminated) and ensure all necessary documents are scanned and uploaded to the HRIS and Shared folder.