



جامعة العين للعلوم والتكنولوجيا
AL AIN UNIVERSITY OF SCIENCE AND TECHNOLOGY



FACULTY HANDBOOK

2017-2018



جامعة العين للعلوم والتكنولوجيا
AL AIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

Faculty Member Handbook

2017-2018



*The Late Sheikh
Zayed Bin Sultan Al Nahyan*





*H.H. Sheikh
Khalifa Bin Zayed Al Nahyan
President of United Arab Emirates*





*H.H. Sheikh
Mohammed bin Rashid Al Maktoum
Vice President and Prime Minister
and Ruler of Dubai*





H.H. Sheikh

Mohammed Bin Zayed Al Nahyan

*Crown Prince of Abu Dhabi and Deputy Supreme
Commander of the UAE Armed Forces*



Welcome Message from the President

Welcome to an exciting new year at Al Ain University of Science and Technology. Dear respected colleagues, welcome to a new academic year at Al Ain University of Science and Technology. As we look forward to a new academic year, I would like first to welcome the new faculty members who have recently joined us and invite everyone to take a moment to reflect on our successes. Each of you has the right to be proud of your work. So far, three of our colleges have earned international accreditations. Continuous efforts and support are exerted by the remaining three colleges to gain their accreditation. We forecast the possibilities ahead as we seek to bring our mission to the frontiers by implementing high quality teaching standards, latest research studies; as well as effective community engagement activities.

Over the past decade, AAU has accomplished substantial progress to create an amiable and a distinguished, productive learning environment in the United Arab Emirates. More colleges have been launched and more Bachelor and Master's programs are now available, enticing more students and qualified academics, and most importantly incorporate more strategic partnerships, such as hospitals, local and international educational institutions as well as various governmental and private insituions that best train, deliver workshops and seminars; in addition to proposing business ventures to our students, faculty and staff members. Moreover, we are also engaged in continuously hosting international conferences that forefront the faculty's scientific research projects and that of our students, local and international participants, laboratory and IT technicians who are willing to self-develop themselves in the field of academia.

This unique AAU learning environment has only surfaced out your teaching-learning devotion and quality research involvement that have been apparent to local and international communities. We are living an era of continuous development and improvements where we all race against time to seek ways to professionally develop ourselves through attending and/or conducting international conferences, getting trained by experienced and qualified academics from all around the globe and publishing papers in journals accredited by the University as well as by the Ministry of Higher Education and Scientific Research.

Moreover, the Community Engagement interaction adds tremendously to your professional qualities, to your colleagues and to the students. This in turns enhances ones teaching skills through case studies, field trips and other extracurricular activities which in turn upgrade our students' mental, physical and critical abilities to prepare them for the real world after graduation.

My dear academia team, knowledge seeking is an endless feeding process. In this complex world, it takes a lot of effort to progress with learning for the benefit of our students who come to our University for its enriching and valuable academic and social environment. The university has become the core of our students' futuristic success, and in this case, we are not just their educators, but their life mentors, who help them to overcome the challenges that they would sooner or later encounter.

Together, you and I, can make this happen! And I look forward to the year ahead.
You have my very best wishes.

Prof. Ghaleb A. El-Refae
AAU President

Table of Contents

• Message from the University President	11
• Introduction	15
• Al Ain University of Science and Technology	17
• (1) University Organizational Structure	19
• (2) Duties and Responsibilities of Faculty Members	29
• (3) Academic Freedom	33
• (4) Professional Ethics for Faculty	33
• (5) AAU General Policies	34
• (6) Faculty Recruitment and Appointment	44
• (7) Benefits and Restitution for Deceased Faculty Members	60
• (8) Faculty Promotion Policies and Procedures	61
• (9) Job Description for Faculty Members	71
• (10) Qualifications for Part-time Faculty	72
• (11) Compensation and Benefits	72
• (12) Summer Employment	72
• (13) Disciplinary Procedures and Appeals	73
• (14) Graduate Assistants	78
• (15) Policies for Part-time Faculty Members	78

INTRODUCTION

The United Arab Emirates (UAE) is a federation of seven emirates located in the south-eastern corner of the Arabian Peninsula. It is bordered by the Arabian Gulf to the north, Saudi Arabia to the south and west, and the Sultanate of Oman and the Gulf of Oman to the east. The Emirates gained independence in 1971. Its seven member states are Abu Dhabi, Ajman, Dubai, Al Fujairah, Ras al Khaymah, Ash-Shariqah, and Umm al Qaywayn with Abu Dhabi as its capital.

The United Arab Emirates is important to world energy markets because it contains 98 billion barrels, or nearly 10%, of the world's, proven oil reserves. The UAE also holds the world's fifth-largest natural gas reserves and exports significant amounts of liquefied natural gas. The currency used within the country is the Dirham (AED) which has a fixed rate with respect to the American dollar (USD 1 = AED 3.68).

The Emirate of Abu Dhabi

Abu Dhabi occupies an area of 67339 sq. km (26,000 sq. mi.). Its long coastline - the shallow waters of the Southern Gulf, extending from the base of the Qatar Peninsula in the west to the border of the Emirate of Dubai on the north east - was once the world's best waters for pearling. When the pearling industry declined, oil discovery in the offshore oil fields of the Southern Gulf revived the economy of Abu Dhabi. Abu Dhabi was also the first emirate to export oil from the Umm Shaif offshore field in 1962. The emirate extends south to the oasis of Liwa where some of the world's largest sand dunes can be found, and east to the ancient oasis of Al Ain. This makes Abu Dhabi the largest as well as the most populated of all the emirates. The emirate adopts a wise forestry policy despite its harsh summer climate.

Abu Dhabi City

Abu Dhabi is one of the most modern cities in the world. It is the center of government and business life in the UAE. It is the headquarters of the emirates oil operating companies and embassies. The architecture of its modern buildings and skyscrapers is one of the finest in the Middle East. Abu Dhabi's oil wealth has been wisely utilized to maintain a healthy trade and commerce atmosphere in addition to oil industry. Large gardens and parks, green boulevards lining all the streets and roads, sophisticated high-rise buildings, state-of-the-art communication services, the presence of all the international luxury hotel chains, rich shopping malls, cultural centers and events provide tourists a unique experience all year round.

Al Ain City

Al Ain is the main city in the Eastern Region. It is a fertile area rich in greenery with plenty of farms, public parks and important archaeological sites. Substantial groundwater resources, which feed into numerous artesian wells, also bless it. Al Ain city is indeed the garden of the Gulf.

AL AIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

Overview

Al Ain University of Science and Technology (AAU) is a university that is licensed by the UAE Ministry of Higher Education and Scientific Research. AAU is a new and rapidly growing institution of higher education, which uses English as a medium of instruction. It has two campuses; one in Abu Dhabi, the capital of the UAE, and the other in Al Ain, the 'garden city' of the UAE. Since the establishment of the university in 2005, the university's student enrolment has tripled, and now includes students from the UAE and more than other twenty nationalities.

The university offers accredited Bachelor degree programs through its various colleges (the College of Business Administration, the College of Education, Humanities and Social Sciences, the College of Engineering and Information Technology, the College of Law, the College of Communication and Media, and the College of Pharmacy). AAU also offers a number of graduate programs on the Diploma and Masters levels. The university has submitted proposals for additional programs to the Ministry of Higher Education and Scientific Research. Should these programs be granted accreditation, they too will be offered by AAU.

AAU Vision

Al Ain University of Science and Technology aspires to be among the leading learning centers in the region by achieving international quality standards in teaching, research, and community service.

AAU Mission

AAU strives to be a learning center of excellence that responds to market needs and prepares graduates who possess the scientific and technological competencies that are needed for their careers. The university plays an active role in the creation of knowledge through quality teaching and research. It values community service and nurtures partnerships with institutions and organizations through a commitment to the educational, technological, and economic development of the country and the region.

To accomplish its mission, the university will:

- I. Strengthen the university's commitment to quality undergraduate and graduate programs that are characterized by disciplinary depth and breadth, with a high level of direct interaction between faculty and students.
- II. Improve the recruitment, retention, and graduation rates within the student

body, and increase the number of well-prepared and academically able students who wish to enter a nurturing environment that facilitates the development of competent and creative professionals.

- III. Continue to recruit and retain a dedicated and culturally diverse faculty body whose teaching is informed by research and embodies learning experiences which enable students to improve academically and personally.
- IV. Secure and strengthen the university's Information Technology Services and Media Services to support both the academic and administrative functions of the university, and the deployment of new and innovative teaching and research technologies as they become available.
- V. Contribute to society in general and the local community in particular, by addressing society's educational, cultural, social, and economic interests.
- VI. Foster research and support faculty members to secure the time, financial support, and cooperative collaborations to maximize their success in research, scholarship, and other creative activities.

(1) UNIVERSITY ORGANIZATIONAL STRUCTURE

◆ Board of Trustees

Membership:

The Board of Trustees is the legal body in charge of the whole institution and its policies. It is chaired by the University proprietor or a person authorized by him. It meets at least twice a year. The University President sits on the Board meetings. The Board comprises five members chosen by the proprietor who are noted for their eminence, academic reputation and social status.

Responsibilities:

The Board of Trustees is the legal body responsible for the institution and for policy making. The Board has set proper procedures to ensure that it is appropriately involved in the approval of the financial status and is adequately informed about the stability of AAU, as well as the effectiveness of its leadership and its teaching, research, and public service, as appropriate. The Board of Trustees shall:

- I. Meet at least twice annually;
- II. Maintain official records of all meetings;
- III. Establish broad institutional policies;
- IV. Approve the institution's by-laws;
- V. Approve the institution's mission and goals;
- VI. Secure financial resources to adequately support the institutional goals;
- VII. Approve the annual budget;
- VIII. Ensure that the institution is subject to an annual audit;
- IX. Approve the selection of an external auditor;
- X. Receive the report of the external auditor;
- XI. Approve major facilities, contracts, and campus plans unless otherwise delegated;
- XII. Establish new colleges, deanships, and centers;
- XIII. Appoint the President;
- XIV. Evaluate the performance of the President and approve his or her contract and continuance in office.

There is a clear distinction, in writing and in practice, between the policy-making and fiduciary functions of the Board of Trustees and the responsibility of the administration and faculty to administer and implement policy.

♦ Chancellor

The Chancellor of Al Ain University is responsible for the following:

- I. To monitor the overall performance of the University in accordance with its vision and philosophy, and to follow up the implementation of the adopted strategic plan.
- II. To look into all external affairs, cultural relations, and the modernization and development affairs at the University, as well as to maintain the University's positive image and its privileges.
- III. To oversee the University's human and physical investments based on the recommendations of the President of Al Ain University.
- IV. To carry out other duties related to the job description for the position in accordance with the University's regulations and policies.

♦ University President

Responsibilities:

The University President is responsible for the following:

- I. Supervising the implementation of the University laws and by-laws and representing the University at public and private occasions.
- II. Overseeing work at colleges and student services.
- III. Approving appointments of faculty members, technicians, administrators and other personnel.
- IV. Preparing University budget.
- V. Submitting academic plans and research agenda to the Deans' Council;
- VI. Overseeing plans for community service, research and cultural relationships with other universities.
- VII. Calling the Deans' Council for meetings, presiding over the meetings and overseeing the implementation of its recommendations.
- VIII. Calling the University Council for meetings, presiding over the meetings and overseeing the implementation of its recommendations.
- IX. Overseeing the implementation of the University Appointment and Promotion Committee's recommendations.
- X. Assuming other responsibilities authorized by the Board of Trustees.
- XI. The President may delegate some of his/her responsibilities to the Vice-President(s).
- XII. Submitting a detailed annual report to the Board of Trustees summarizing the University achievements and future plans.

- XIII. Monitoring progress of assessment, and quality assurance in the University.
- XIV. Issuing necessary decrees for faculty promotion upon recommendation from the Appointment and Promotion Committee.
- XV. Overseeing the effectiveness of the University functions.
- XVI. Appointing the University Council Members.
- XVII. Approving the appointing, renewal and termination of appointment of the College Deans.

♦ Vice President(s)

The Vice President (VP) is nominated by the President and is appointed for a designated term of office according to the procedures outlined in the Statutes of the University.

The Vice President of Al Ain University is responsible for the following:

- I. The VP's primary function is to safeguard the academic excellence of AAU and ensure its compatibility with similar institutions, local and international. S/he should have a full grasp of all of the academic tracks that the university's various colleges are pursuing. S/he is the guardian of the academic policies, rules and regulations of the university.
- II. The VP ensures that each program, pursuing its particular ends, corresponds to the overall purpose of the university.
- III. The VP, in collaboration with the Deans, Directors, and Department Heads, determines the selection of teaching staff based on his/her examination of the qualifications of each candidate that is presented for nomination. The VP recommends the rank to be assigned to new teachers.
- IV. The VP, in consultation with the Dean or Director, recommends for approval by the University President all outside teaching and/or other professional or business commitments of faculty members. S/he may refuse to do so if such commitments are deemed excessive, or if they interfere with the proper performance of the faculty member's teaching and research responsibilities.
- V. The VP, in consultation with the University President, and with the relevant Dean or Director, authorizes the establishment of any additional full-time or part-time teaching positions.
- VI. The VP approves all changes in grades and the academic status of students; issues warnings to students in the form of probation; and dismisses students who are seriously deficient in their academic performance.
- VII. The VP, in conjunction with the Deans and Directors, is responsible for the quality of all academic programs. To this end, the VP coordinates methods of evaluating instruction given in the university; oversees the implementation of established procedures regulating the evaluation of teachers; investigates the work load of each teacher; promotes programs

for teacher development; and insures that the facilities and budgets that are needed for proper instruction are provided.

- VIII. The VP reviews and follows up on the annual reports of the Deans, Directors, and Department Heads.
- IX. The VP is responsible for formulating a long-term plan for the growth and development of the academic programs of the university.
- X. The VP is responsible, in consultation with the Registrar, for the University's Academic Calendar.
- XI. The VP is a member of the Deans' Council and the University Council.

♦ **University Council**

The University Council is chaired by the AAU President. It comprises the AAU Vice President(s), the Deans of Colleges, the Dean of Student Affairs, the Dean of Scientific Research and Graduate Studies, Deputy Deans (Abu Dhabi Campus), a Representative from each college, the Head of the Quality Assurance Unit, the Financial Manager, Registrar General, Center of Information Technology Manager, the Director of the English Language Center, and two students: one from Abu Dhabi Campus; the other from Al Ain Campus. The Council meets at least once every semester.

The main task of the Council is to prepare the budget of AAU and discuss the financial position of the University. The Council also sets policies regarding the University's involvement in community service. In addition, the Council sets plans for relations with other academic institutions on an international level.

♦ Deans' Council

Membership:

The Deans' Council is chaired by the University President. It comprises the AAU Vice President(s), the deans of colleges, the Dean of Scientific Research and Graduate Studies as well as the Dean of Student Affairs. The Deans' Council meets once a week.

Responsibilities:

- I. Implementing the University policies.
- II. Approving plans, which secure the appropriate infrastructure to execute University objectives.
- III. Approving by-laws that govern organizational, financial and executive University affairs.
- IV. Approving by-laws to govern employment and punitive measures that apply to all University personnel.
- V. Approving new University study plans.
- VI. Conferring University academic degrees.
- VII. Setting terms and conditions regarding students' admission and number of accepted students in light of the Ministry of Higher Education overall plans.
- VIII. Directing and overseeing studies aimed at establishing new colleges and new programs.
- IX. Following-up the implementation of college plans for teaching and research.
- X. Approving admission policies.
- XI. Making policies regarding the size and quality of student enrollment.
- XII. Applying for approval of new academic programs and new non-academic units.
- XIII. Making the final decision regarding faculty promotion upon recommendation from the Appointment and Promotion Committee.

♦ College Deans

Responsibilities:

A College Dean is appointed by the University President. The Dean holds a PhD degree and usually holds the rank of Professor. The duration of the appointment for a Dean is two renewable years.

The College Dean is responsible for the following:

- I. Overseeing the preparation of the college academic plan and following-up its implementation.
- II. Coordinating between the academic and administrative units in his/her college.

- III. Submitting proposals regarding recruiting faculty members, technicians and others.
- IV. Overseeing and monitoring the teaching/learning process in his/her college.
- V. Submitting reports at the end of each academic year about the college academic, administrative and financial affairs showing activities, level of performance, study issues, examinations and results and identifying the points of strength and weakness.
- VI. Preparing and submitting annual budget for his/her college.
- VII. Monitoring issues related to student affairs and directing activities for the enhancement of student learning.
- VIII. Proposing and implementing policies that enhance research activities in his/her college.
- IX. Coordinating with Deans of other colleges to enhance University research projects.
- X. Recommending faculty members in his/ her college for promotion.

♦ Dean of Student Affairs

Responsibilities:

The Dean of Student Affairs is responsible for the following:

- I. Directing services offered to students at the University.
- II. Setting up centers or units to better help students overcome their social, psychological, and financial problems.
- III. Overseeing work at the student counseling offices.
- IV. Supervising and monitoring services such as: restaurants, transportation, housing, etc..., and preparing regulations that govern such services.
- V. Organizing various activities for the University's students.
- VI. Forming clubs and societies and formulating rules to control them.
- VII. Organizing seminars, celebrations, academic, and extra-curricular activities.
- VIII. Organizing specialized workshops and training programs to improve modern administration facilities system.
- IX. Establishing various databases for student affairs.
- X. Implementing University decrees regarding his/her directorship.

♦ Dean of Scientific Research and Graduate Studies

Responsibilities:

The Dean of Scientific Research and Graduate Studies coordinates closely with the Deans of the Colleges in all matters relating to scientific research and graduate studies. In addition, the Dean's responsibilities include:

- I. Overseeing the preparation of the academic plans for the graduate programs and following-up their implementation.
- II. Overseeing the process of setting a strategic plan for scientific research.
- III. Monitoring issues related to approved channels and media for publication.
- IV. Preparing and submitting interim and end of year reports in relation to scientific achievement at AAU.
- V. Overseeing the implementation of the decisions of the Scientific Research Council.
- VI. Overseeing graduate students' affairs.

♦ College Council

Membership:

The College Council comprises:

- I. The Dean – Chair.
- II. Deputy Dean.
- III. Department Heads.
- IV. Two of the faculty members selected from college faculty.

The College Council meets once a week or whenever needed.

Responsibilities:

The College Council is responsible for the following:

- I. Overseeing academic plans of various programs in the college and coordinating between them;
- II. Approving students' grades.
- III. Approving students' applications for transfer to the College in accordance with the directions issued by the Deans' Council.
- IV. Recommending conferring academic degrees.
- V. Approving the nomination of new faculty members or teaching assistants, or suggesting their secondment, transfer or granting them scholarships or study leaves.
- VI. Overseeing the scientific research of the college faculty members.
- VII. Appointing standing committees to investigate or study issues within its responsibilities.

♦ Department Council

Membership:

The department council comprises all faculty members within the academic department and is chaired by the Department Head. The Department Council meets twice a month or whenever needed.

Responsibilities:

The Department Council is responsible for the following:

- I. Discussing and approving department plans for teaching, scientific research and community services.
- II. Approving new courses/ programs and recommending them to the college council.
- III. Reviewing and approving suggested textbooks by faculty members.
- IV. Reviewing and submitting nominations of applications for new faculty members and teaching assistants to the college council.
- V. Approving faculty course loads, lectures and field training sessions for individual faculty members and other teaching staff in accordance with the University regulations.
- VI. Reviewing assessment results, and recommending appropriate changes and modification in the study plan, course content and teaching/learning strategies.
- VII. Approving the formation of department committees.
- VIII. Setting the department budget.

♦ Department Heads

Department Heads are appointed by the University President upon nomination from the College Dean.

Responsibilities:

The Department Head is responsible for the following:

- I. Chairing the Department Council and following up its recommendations.
- II. Representing the department in the College Council.
- III. Forming the department committees and following up their activities.
- IV. Approving the department budget.
- V. Chairing the textbooks and timetable committees.
- VI. Supervising the department academic, research and extracurricular activities.
- VII. Chairing the department assessment-committee and following up its activities.
- VIII. Evaluating faculty and staff performance within the department.

♦ Program Coordinator's Responsibilities

A program coordinator will be assigned for each program in the college by the College Council. The program coordinator will look after the program in both campuses.

The program coordinator will be responsible to do the following:

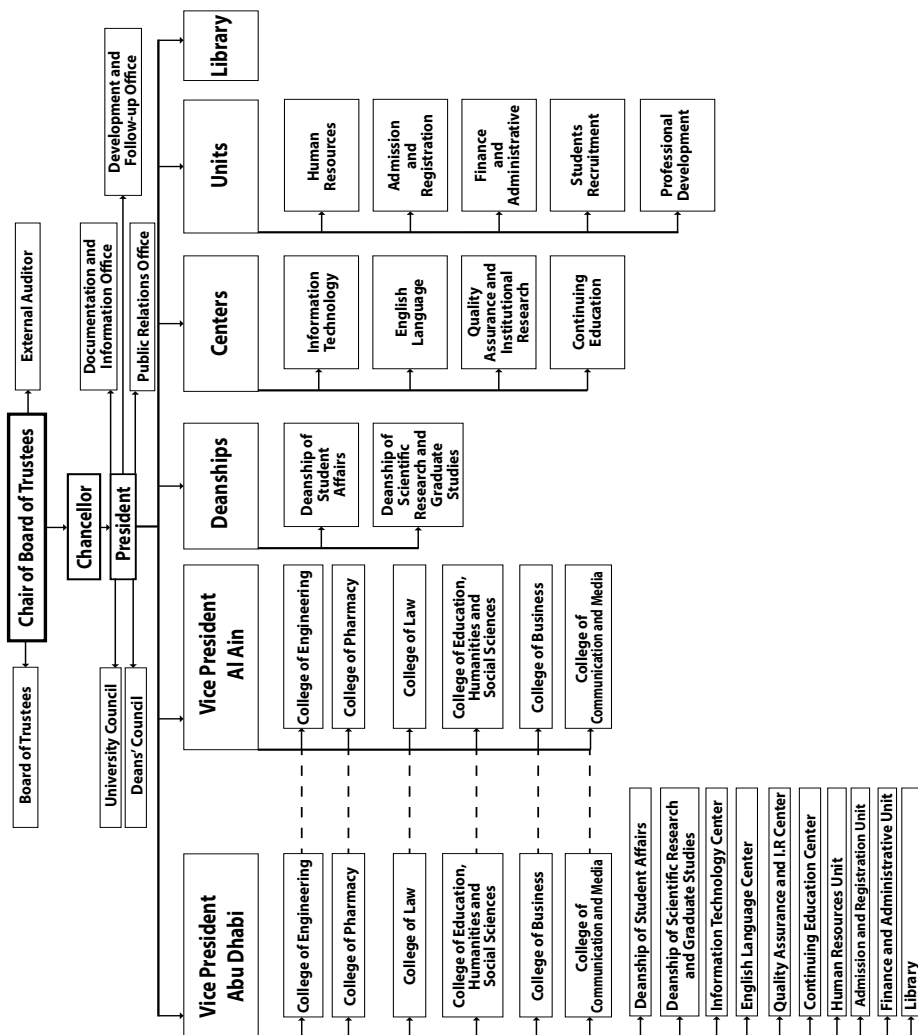
- i. Help the Dean and the college administration in the planning, implementation and marketing of the program's functions.
- ii. Serve as a liaison between students, faculty, other campuses and other departments on program-related issues.
- iii. Coordinate activities of students, faculty, staff and administration to achieve program's objectives.
- iv. Prepare program-related documents, such as course catalogs, promotional materials, and educational materials.
- v. Collect and maintain student and course related data, such as, registered students, graduated students, employed students, and offered courses
- vi. Work with college advisors to make sure the advising process runs smoothly and effectively.
- vii. Perform any program-related duties assigned by the Dean and the university administration.

♦ Course Coordinator's Responsibilities

- i. A lead course coordinator will be assigned, by the College Council, to each multi-section course taught across the two campuses or in the same campus.
- ii. The course coordinator will be responsible to do the following:
- iii. Organize a startup meeting at the beginning of the semester to develop a consensus among the instructors of each section of the course regarding syllabus, contents, learning outcomes, methods of delivery of contents and weightages and contents of assessment material.
- iv. Make sure that the textbooks and aiding materials are available in the university library.
- v. Maintain the quality and the consistency of the course contents and teaching methodologies during the semester.
- vi. Oversee the preparation of the final exam (if exist) to make sure that it is unified between all sessions.
- vii. Conduct a meeting with the instructors at the end of the semester to discuss any suggested update in the syllabus, course contents, textbooks and course learning outcomes.
- viii. Oversee the preparation of the portfolio in both campuses.
- ix. Organize professional development activities for the instructors to make sure that the faculty is abreast with the latest knowledge, tools and technologies that are part of the course.

Al Ain University of Science and Technology

Organizational Chart



(2) DUTIES AND RESPONSIBILITIES OF FACULTY MEMBERS

The different duties that a faculty member is expected to perform are classified under the following categories:

- I. Teaching.
- II. Research.
- III. Service to the University and Community Engagement.

In addition to these general areas of activity, it is expected of the faculty member to:

- I. participate actively in assessment procedures;
- II. carry out administrative tasks and other activities related to the faculty member's position;
- III. uphold intellectual integrity and objectivity in the search for the truth;
- IV. avoid discrimination against, harassment of, or imposing prejudicial treatment upon other faculty members, staff members, students, or participants because of ethnicity, religion, national origin, gender, country of citizenship, age, political beliefs, or status as a person with a disability;
- V. uphold current university rules and regulations;
- VI. comply with reasonable and appropriate instructions from the Head of the Department, the Dean, or other authorized university officer with respect to the timely performance of their essential duties;
- VII. perform his/her responsibilities and obligations as teachers/researchers/ scholars and members of the faculty;
- VIII. use his/her time and efforts totally for the university; any work outside the university can only be performed with a special permission.

♦ Teaching

Faculty members are expected to:

- I. meet with their regularly scheduled classes at the time specified on the teaching schedule;
- II. engage in reasonable and substantial preparation for the teaching of courses that are assigned to them, using active learning strategies;
- III. participate in assessment activities;
- IV. maintain regular office hours for consultation with AAU students;
- V. apply various teaching/learning strategies to meet student needs and to achieve the course objectives;
- VI. utilize efficient teaching technologies.

♦ Research

Each faculty member is expected to:

- I. be involved in serious scientific research and the publishing of this research;
- II. give priority to research that is related to the development plans of the country;
- III. engage in interdisciplinary research;
- IV. encourage and supervise research performed by students;
- V. give constructive response to research performed by other faculty members.

♦ Service to the University and Community Engagement

Each faculty member is expected to:

- I. actively participate in the various committees to which s/he is assigned;
- II. participate in extracurricular activities;
- III. participate in the professional development activities of other faculty members and personnel;
- IV. propose consultancy for community bodies and institutions other than AAU;
- V. join professional associations;
- VI. be actively involved in refereeing academic publications.

♦ Faculty Responsibilities

The university expects that all faculty members will conduct themselves in a responsible and professional manner on all matters relating to the academic life of the university. A few specific items of importance are mentioned below:

Class Meetings:

Each faculty member is expected to conduct class for the entire allotted time period. Classes meet for fifteen weeks. The sixteenth week is the final examination.

First Session of Class:

The first class session is an extremely important one, and instructors should be prepared to hold class for the full period even though their students do not have a previous assignment or textbook. During this first session, faculty should discuss with their class the course syllabus, which includes an overview of the course, introduction to the textbook(s) that will be used, set forth the course requirements, explain their method of grading, discuss the term paper or research project mechanics and requirements, and suggest helpful outside readings. A class discussion topic or other exercise should be developed to get the course under way.

A faculty member must not allow students to attend his/her classes without officially enrolling for the course; this practice violates university regulations. Any student in your course who is not registered (not on the Student Registration List) must not be given any graded materials, be they quizzes, papers, or examinations. The student should immediately be referred to the Admission and Registration Unit.

Cancellation of Classes:

In the event the faculty member cannot meet a class because of a personal emergency, the faculty member must notify the relevant department or college. If you need to cancel a class for any other reason, please consult with your Department Head or College Dean and notify students in advance (especially for evening courses). In any event, faculty members are responsible for making up all cancelled classes.

Classroom Environment:

A faculty member has the right and responsibility to maintain a classroom environment that is conducive to learning. He/she shall meet each class as scheduled and adhere to the standards of the profession and to university policies and regulations.

Each faculty member has the additional responsibility to see that students respect university property. Any students who damage university property should be promptly reported to the Department Head or College Dean, or the Dean of Student Affairs.

Class Rosters and Enrolment Verification:

At the beginning of the semester, please check the registration system so as to obtain the most current list of students registered in your class. Shortly after the end of registration for the semester (add-drop period), you will get an official registration list. This list should be checked carefully. Any students who have been attending class while their names are not on the list should be instructed to contact the Admission and Registration Unit. Faculty members should not return any graded academic exercise, such as papers, quizzes, or tests, to students whose names are not on the official registration list.

Students are expected to attend all class sessions for courses in which they are registered and are, of course, responsible for all the work covered. You may also include whatever penalties you think appropriate for late work. Your class attendance requirements must be clearly stated on your course syllabus. Students who do not attend class and hand in no work but do not officially withdraw must be assigned a grade of "F" (not "W" or "I") at the end of the semester.

Course Syllabi:

You must provide your students with a syllabus (course description document) during the first week of class, preferably at the first meeting. While this requirement may seem obvious, students occasionally report never receiving a syllabus in a course. Having a syllabus helps students avoid any misunderstanding of your course requirements.

The syllabus should contain:

- I. instructor's name, phone extension, and email address;
- II. time and location of your office hours;
- III. list of required texts with ISBN;
- IV. course objectives;
- V. tentative sequence and timing of topics to be covered;
- VI. weekly assignments;
- VII. written assignments and due dates;
- VIII. test dates;
- IX. grading policies;
- X. attendance policies;

You need not explain all the assignments in detail, and if necessary, you can change the syllabus as you go along. Substantial changes should be distributed in writing. A copy of your syllabus should be placed on file in the course portfolio.

Final Examinations:

Final Examinations must be given in the sixteenth week and may not be given earlier. Students have the right to review all graded academic exercises. There is a general expectation that all graded academic exercises are to be returned to students during the regular semester, with the exception of final examinations. It is recommended that final examinations be maintained by the instructor. The final examination papers will be stored for a period of twelve months after the completion of the term. Final examinations will not be given to students for review without the presence of a committee to review the paper. This committee will be appointed by the Dean.

Final Grades:

Using the registration system at the beginning of examination week, you will find a Final Grade list for each of your courses. Please follow the instructions for completing this list and return it signed to your College Dean within forty eight hours after you have administered the final examination for the course. Only students who are officially registered for the course may receive a grade. If a student is not listed on your list but has been attending, do not write the student's name on the Final Grade list.

(3) ACADEMIC FREEDOM

Academic Freedom is the right of members of the academic community to study, discuss, investigate, teach, conduct research, and publish as appropriate to their respective roles and responsibilities. It is the policy and responsibility of AAU to ensure and protect these rights within the governing framework of the institution.

However, faculty members have an obligation to acquaint their students with the various scholarly views related to their subjects, and they are expected to be judicious in the use of controversial materials.

(4) PROFESSIONAL ETHICS FOR FACULTY

The statements hereunder define some areas of ethical conduct that govern faculty members' behavior towards students, colleagues, the University, and the community. These statements do not address every situation; rather, they aim at providing the faculty member with an overview of a general perspective on the code of ethics governing Al Ain University.

I. Compliance with AAU's Rules and Regulations

All faculty members at AAU shall abide by the rules and regulations applicable at AAU. If the faculty member is uncertain about any issue, s/he may refer to the HR Manager, the Department Head, the College Dean, AAU Vice President, or AAU President.

II. Harassment or Discrimination

Al Ain University upholds the principle that all individuals have the right to be treated with respect and equality. Any harassment, discrimination, or prejudicial treatment towards students, other faculty members, or administrative staff on grounds of ethnicity, religion, national origin, gender, country of citizenship, age, or disability status undermines the AAU's essential ethics and shall not be tolerated.

III. Conflict of Interest

Faculty members are in obligation to avoid any situation where their personal interests conflict or could be interpreted as being in conflict, with those of AAU.

IV. Intellectual Property

Al Ain University advocates the ownership of intellectual material as stipulated by copyright laws. Faculty members have the obligation to comply with AAU's Copyright Policy (see Section 5).

V. Confidentiality

Al Ain University prohibits any form of disclosure or dissemination of confidential information obtained during or after work with AAU. Faculty members shall treat as confidential any information or records conveyed to them on that basis.

(5) AAU GENERAL POLICIES

♦ Copyright Policy

Copyrighted work emphasizes AAU mission of contributing to the body of knowledge. AAU is committed to providing an environment that supports the research and teaching activities of its faculty, students, and staff. As a matter of principle and practice, AAU encourages faculty, students, and staff to engage in free expression, the exchange of ideas, and the development of original works of authorship. Accordingly, this Copyright Policy has been prepared. The intention of the Copyright Policy is to promote and encourage excellence and innovation in teaching and research by identifying and protecting the rights of the University employees.

This Policy emphasizes the main academic practice, which provides copyright ownership to faculty, students and staff for their copyrighted works which provides the University ownership of its employment-related works. The University Council has responsibility for all copyrights in which the University is involved.

♦ Purpose and Scope

This statement sets forth the University's Policy on the Copyright Ownership for works produced at AAU campuses. This Policy applies to University faculty, students, staff and other persons or entities using designated University facilities or acting under contract with the University for Commissioned Work.

♦ Definitions

For the purpose of this Policy, the following definitions will be employed:

Copyright

Copyright is the intangible property right granted for an original work fixed in a tangible form of expression. Copyright provides creators of "original works of authorship" with an exclusive set of rights to copy, reproduce, distribute, and perform their works.

Copyrightable

Works include the following categories:

- I. Literary works, i.e., fiction, non-fiction, textbooks, biographies, and other scholarly works;
- II. Software;
- III. Motion pictures and other Audiovisual works;
- IV. Sound recordings.

Not Copyrightable

Facts cannot be copyrighted. Factual information is in the public domain; so an author can use facts, whether correct or incorrect. Copyright permission extends only to an author's expression of facts and not the facts themselves.

The following items or works are not copyrightable:

- I. Words and short phrases such as names, titles, and slogans;
- II. Familiar symbols or designs;
- III. Mere variations of typographic ornamentation, lettering, coloring;
- IV. Mere listing of ingredients or contents;
- V. Ideas, plans, methods, systems or devices;
- VI. Blank forms, account books, bank checks, diaries, graph paper, order forms, report forms, scorecards, and timecards.

Rights of the Copyright Owner

The copyright owner has the following basic rights:

- I. reproduce the work
- II. prepare derivative works
- III. perform the work
- IV. display the work
- V. distribute the work

Fair Use

Fair use is the reason used by educators to copying for teaching purposes. Since AAU is a nonprofit organization and the copying is done to teach students, fair use is often used as an excuse for copying, rather than a well thought out reason for copying.

The following factors can be used to determine whether the copying is classified as fair use. All factors must be satisfied before copying any material. No factor is given more weight over another. However, while more emphasis is placed on the last factor, less importance is attached to the second factor.

- I. The purpose for using copied work: Whether the copying is of a commercial nature or is for nonprofit educational purposes, the purpose for copying must fall into the categories of teaching or research.
- II. The nature of the copied work: Copying news magazine articles (factual) is more likely to be allowed under fair use than copying a short story (creative).
- III. The amount and the portion of copied work in relation to the work as a whole: Copying a large portion of a work or the essence of a work is considered an infringement.
- IV. The effect of copying on the value of the copyright and its potential market: If the copying is not specifically prohibited, it may be allowed under fair use.

Designated Academic Appointees

These appointees are University employees who have a general obligation to produce scholarly/ aesthetic works. Included are all appointees as faculty members and/or in professional research.

Independent Academic Effort

Inquiry, investigation, or research carried out by designated academic appointees to advance knowledge is determined by the designated academic appointee without direct assignment or supervision by the University. The general obligation of designated academic appointees to produce scholarly/aesthetic works is considered independent academic effort.

License

A contract in which a copyright owner grants to another permission to exercise one or more of the rights under copyright.

Originator(s)

One who produces a work on his/ her own. When there is more than one originator, the ownership of each originator's contribution shall be considered separately pursuant to this Policy.

Permissible Consulting Activities

Professional or scholarly services provided by University employees for fees, which do not interfere with regular University duties, do not utilize University resources, and are not prohibited by terms of the University employment contract or other applicable University agreements or policies.

Royalties

A payment made to an owner of a copyright for the privilege of practicing in a copyright.

Sponsor

Sponsor is an individual, organization or agency which provides funding, equipment, or other support for the University or faculty member(s) to conduct research, training, or public service pursuant to a written agreement. Sponsors can be individual funds, government agencies, or private organizations.

University Facilities

Buildings, equipment, and other facilities under the control of the University, such facilities normally include campus computer centers and normally do not include University libraries.

University Funds

Funds available to the University and are administered under the control, responsibility, or authority of the University.

♦ Copyright Ownership by Category of Work**Scholarly/Aesthetic Work**

A scholarly/aesthetic work is an independent work undertaken by a designated academic appointee. The academic appointee originator is entitled to the ownership of copyrights of scholarly/aesthetic works unless they are sponsored works or contracted facilities works, or unless the designated academic appointee agrees to participate in a project which has special provisions on copyright ownership.

Institutional Work

Except as otherwise provided in this Policy, AAU owns all copyrights to works carried out by AAU employees within their regular employment and owns all copyrights to works carried out with the use of AAU resources.

Personal Work

A personal work is a work that is obtained without the use of the University's name and carried out outside the course and scope of University employment (except for permissible non-University consulting activities) without using University Resources. Hence, the originator will be owner of the copyright.

Student Work

A student work is a work produced by a student registered in the University without using University funds, other than student financial aid, that is produced outside any University employment, and is not a sponsored, contracted facilities, or commissioned work. Hence, the originator will be owner of the copyright.

♦ Sponsored Work

A sponsored work is a work first produced by or through the University in the performance of a written agreement between the University and a sponsor. Sponsored works do not include journal articles, lectures, books or other copyrighted works created through independent academic effort and based on the findings of the sponsored project, unless the sponsored agreement states otherwise.

The University will have the ownership of copyrights to sponsored works unless the sponsored agreement states otherwise.

Commissioned Work

A commissioned work is a work produced for the University by individuals not employed by the AAU or by AAU employees outside their regular University employment. Copyright ownership shall be specified in a written agreement. Any such agreement which provides for ownership by other than the University, generally shall provide the University with a free-of-cost, nonexclusive, world-wide license to use and reproduce the copyrighted work for education and research purposes.

Contracted Facilities Work

A contracted facilities work is a work produced by individuals not employed by the AAU or by AAU employees outside their regular University employment, using designated University facilities in accordance with a written agreement. Ownership of copyrights to contracted facilities work is decided by the agreement signed between AAU and the individual(s).

Copyright Ownership of Joint Work

Copyright ownership of joint works is determined by assessing the category of work of each participant as mentioned in the previous section (D) together with the agreement between the authors.

Copyright Agreement and Notification

Copyright work undertaken by non University employees or university employees outside the University should be governed by a written agreement that specifies the nature of copyrighted work. A University employee undertaking work outside the University and using the University's facilities should notify the University to secure an agreement.

University employee(s) participating in a sponsored work must have an agreement with AAU that acknowledges individual(s) responsibility to carry out and deliver sponsored works to the sponsor, as required by the terms of contract signed with the sponsor and the University when needed. The agreement should also acknowledge copyright ownership of sponsored works.

A faculty member, staff, or student who participates in a University project that may have copyright ownership requirements other than that provided in Section (D) of this Policy must sign an agreement indicating his or her acceptance to the conditions associated with the project.

Relinquishing a University Copyright

The University may give up its ownership rights in copyrighted works to the originator(s) if this serves the best interest of University. Giving up the right should be contingent on the agreement with the related parties that the University is not part of the copyrighted work and no further effort on, or development of, the work will be made using University resources and that the University is granted a free-of-cost, nonexclusive, worldwide license to use and reproduce the work for education and research purposes.

Licensing and Royalties

The University may assign or license its copyrights to others. Royalty or income received from such transactions may be shared with the originator(s) of such works according to an agreement.

♦ Copyright Responsibilities and Administration

For copyrighted works, the Vice President is authorized to:

- I. Issue guidelines, implementing procedures, and supplementary local policies consistent with the University Policy. These may include directives regarding licensure, disposition of royalty income, and other rights related to copyrights. Copies of such guidelines, policies and procedures shall be sent to the Board of Trustees.
- II. identify campus and other University facilities as having special copyright assignment obligations and issue guidelines and implementing procedures regarding assignment of copyright in works produced using such facilities or projects;
- III. register copyrights, accept copyrights from third parties, and sell, assign, or grant licenses in the name of The Board of Trustees for any rights to copyrights; and
- IV. Give up University ownership rights to copyrighted works which are in the name of The Board of Trustees of the University.

♦ AAU Library

Introduction:

As a non-profit and academic organization, AAU exists to advance knowledge through research, to disseminate knowledge through teaching, and to provide services to its community for continued learning. Therefore, reproductions of information resources made for patrons with university identification can be assumed to be for fair use and non-commercial purposes. The Library's collections (both in Al Ain and Abu Dhabi campuses, henceforth 'the Library') contain scholarly materials intended for the academic community and as such are of a nature most appropriate to claims for fair use.

♦ The Purpose of the AAU Library Policy

This policy is intended to serve as an in-house guide concerning the reproduction of library materials in Al Ain University Libraries, in accordance with the UAE federal Law No. (7) of the year 2002, concerning copyright and neighboring rights.

♦ Liability of Library Employees

Unsupervised reproduction: Liability for copyright infringement may not be imposed on a library or its employees for unsupervised use of reproducing equipment located on its premises, provided that such equipment displays a notice that making copies may be subject to copyright law.

Supervised reproduction: Library units will review this policy and determine that they are not in violation of copyright law before requesting that copies be made. The Copy Services department will use this policy to review requests from other University departments and personnel.

♦ Copy Services

It shall be the responsibility of each AAU Library unit to review all photocopy requests for copyright compliance before submitting material to Copy Services. Therefore, library unit requests received by Copy Services will be assumed to be in compliance with Library's copyright policy and will be filled accordingly.

Copy Services staff will consider AAU University patron requests for photocopies to be permissible as fair use, provided that the following criteria are met:

- I. The use is academic in nature, for non-profit, educational purposes;
- II. The purpose is to make material available for study at a university patron's convenience;
- III. The request is for a single copy of one original, as opposed to multiple copies of the same original.

♦ Reserves

At the request of a faculty member, photocopies of articles or chapters of books may be placed on reserve. Under the guidelines of the UAE copyright law No. (7) of the year 2002, photocopies of these materials may be made without requiring permission from the copyright owner.

Material that has been photocopied by the Library for the express purpose of being put on reserve will be the property of the Library and will be retained for a specified period of time. If the material has not been requested during that time, it will be destroyed.

◆ Document Delivery

Al Ain University Library Circulation Departments adhere to the fair use guidelines in providing photocopies to AAU University community. In line with the guidelines, Circulation Departments will provide an individual member with one copy of any article(s) or chapter(s) needed from a publication.

◆ Inter-Library Loans

The AAU Library endeavor to provide maximum participation in the inter-library loan process for both AAU users and for other libraries that ask us to provide materials to fill their users' requests. At the same time, the Library attempts to follow the guidelines mentioned in the UAE copyright law.

Borrowing: All requests for materials not available in the AAU University libraries should be referred directly to Circulation Department to determine whether such requests can be met. The Circulation Department will make every attempt to obtain material not owned by the AAU Library but needed by eligible AAU users without violating copyright law.

Lending: The AAU Library will respond to any request for a photocopy of an article as long as copyright compliance is indicated by the requesting library. We will assume that the requesting library is taking responsibility for both the nature and the amount of the material it is requesting.

In the case of requests for dissertations and theses written at the AAU University, the Circulation Departments will lend non-archival copies of these materials. If a requesting library wishes to purchase copies of dissertations or theses written at AAU University, the Circulation Departments will direct the requesting library to purchase the material from the University.

◆ Preservation

According to the UAE copyright law No. (7), libraries and archives are permitted to take a sole copy of a work for the purpose of preservation. The AAU University Library will observe the following conditions before reproducing library materials for preservation purposes:

- I. The material comes from collections that are open to the public.
- II. Reproduction is made with no purpose of commercial advantage.
- III. Notice of copyright is included in the reproduction.
- IV. For published works not in the public domain, a suitable replacement at a fair price will be sought, and reproduction undertaken only if an acceptable replacement is unavailable.

♦ Non-Printed Materials

The Library follows the general copyright policy for all non-book items except under the special circumstances noted below.

♦ Video/Film/Sound Recordings

Complete copyrighted works or substantial portions thereof will not be duplicated. If the material is out of print or no longer available at a fair price, duplication is allowed.

Portions of commercially acquired copyrighted works may be copied for instructional purposes. The amount and substantiality of the portion used in relation to the copyrighted work as a whole must be considered in determining whether the use of the excerpt constitutes fair use. Excerpt tapes (Video/Audio) produced by the AAU University Library are the property of the AAU Library and must be returned after class use.

♦ Computer Software

The term 'computer software' applies to all software for microcomputers, mini-computers, or any other device, and includes the software documentation. The AAU University Library will make a back-up copy of any software it has purchased. The original then serves as the archive copy, while the back-up copy becomes the service copy.

♦ License Agreements

When a product acquired by the AAU University Library is accompanied by a license agreement (particularly when signatures are required), it should be clearly understood that the AAU University Library, in most instances, is not acquiring ownership of the material but are instead acquiring only the rights, as set forth in the terms of the license agreement, to use the product.

The terms set in license agreements are those of the publisher/distributor. The AAU Library are not required to accept these terms as stated but can instead negotiate mutually acceptable terms with the publisher/distributor. If a license agreement cannot be mutually agreed upon and the Library cannot abide by the terms set forth, the only option is not to acquire the product.

♦ AAU No Smoking Policy

AAU is committed to providing a smoke-free environment to protect the health and comfort of members of the university community from the adverse effects of tobacco smoke. This policy shall be implemented by the following rules and regulations, which may be changed from time to time.

Rules and Regulations

- I. There shall be no smoking of tobacco products within any building or facility owned or operated by the University, except as provided below.
- II. Smoking is permitted in the outdoor areas of the university premises.
- III. While all other buildings and facilities on University property are smoke-free, it should be particularly noted, there shall be no smoking in:
 - a. conference rooms, classrooms, laboratories or lecture halls; or in auditoriums;
 - b. offices;
 - c. libraries and bookstores;
 - d. cafeterias and food and beverage service areas;
 - e. storage or warehouse areas, and anywhere that hazardous substances are found;
 - f. corridors, lobbies, entries or stairways;
 - g. Sports or recreational areas.

(6) FACULTY RECRUITMENT AND APPOINTMENT

The main concern of the staff involved in the recruitment process at AAU is the selection of the most qualified candidates in their respective areas of specialization. An excellent academic record, research potential, and effective teaching performance are important criteria for the selection of faculty members.

The faculty recruitment procedure begins with an initiative taken by the Dean which includes a description of the position, duties, and responsibilities that the faculty position entails, and a justification for the vacant position. The candidate is asked to submit an application form, and other required documents, to the Human Resources Unit. All applications are sent to the academic department concerned for evaluation.

AAU has a non-discriminatory recruitment policy with respect to an applicant's gender, race, religion, or physical disabilities. Selection criteria include the following:

- I. academic performance, and the academic reputation of the institution that granted the degree held by the candidate;
- II. proficiency in the field to be taught and the ability to integrate knowledge to related subject areas;
- III. experience in teaching and the application of knowledge in the particular field of specialization;
- IV. work published and lecturing experience;
- V. knowledge and understanding of the philosophy, goals, and objectives of AAU

A Departmental Recruitment Committee and the Department Head review the documents that are submitted by candidates for employment. The best-qualified candidates are recommended to the Dean of the College for approval and submission to the Vice-President, who, in turn, reviews the candidates once more before submitting a ranked list of candidates to the University President for final approval.

◆ 6. a. Faculty Workload

The standard full-time faculty academic load consists of twelve contact hours per week of undergraduate teaching plus a reasonable amount of time devoted to such activities as student advisement, individual research or other creative activities, new course development, and committee or other governance service. Under normal circumstances, a semester teaching-load includes no more than three separate preparations, of which no more than one should be a course new to the faculty member.

Teaching load

The working week for all AAU faculty members covers 40 hours distributed as follows:

- I. 12 teaching hours;
- II. 6 office hours;
- III. 8 hours for preparing instructional materials;
- IV. 5 hours for meeting, course revisions and other administrative duties;
- V. 9 hours for research.

The teaching load for the Vice President is 3 credit hours per semester. The teaching load for the College Dean is 6 semester hours less than his/her normal load. The teaching load for the Department Head is 3 semester hours less than his/her normal load.

Proctoring Examinations

You are responsible for actively proctoring all the examinations you administer. Graduate assistants and staff should not proctor exams.

♦ 6. b. Office Hours

The university requires all full-time faculty members to hold at least six office hours a week. You should include the times and locations for your office hours on your course syllabus. Full-time faculty should spend sufficient hours on campus as part of their academic workload responsibilities.

♦ 6. c. Definitions and Minimum Qualifications for Academic Ranks

In addition to fulfilling the general criteria for the evaluation of faculty members described in the previous section, a faculty member must meet specific requirements for each rank in order to be appointed, or promoted, to that rank.

Instructor

An appointee to this rank must:

- I. hold a Master's degree in the required specialization from a university which is recognized by the Ministry of Higher Education and Scientific Research;
- II. have a sound teaching record

Assistant Professor

An appointee to this rank must:

- I. hold a doctorate degree or a PhD degree in a relevant discipline from a university which is recognized by the UAE Ministry of Higher Education and Scientific Research;
- II. have a sound record of teaching, research, and community service;
- III. have demonstrated potential for professional growth in his/her field.

Associate Professor

An appointee to this rank must:

- I. have a doctorate degree or a PhD degree in a relevant discipline from a university which is recognized by the Ministry of Higher Education and Scientific Research;
- II. have a sound record of teaching, research, and community service;
- III. show potential for becoming a scholar of distinction, and have demonstrated professional recognition and growth;
- IV. have at least five years of full-time teaching experience at a college or university at the rank of assistant professor;
- V. have been promoted to the rank of associate professor at a college or university where the promotion regulations are comparable to those of AAU.

Professor

An appointee to this rank must:

- I. have a doctorate degree or a PhD degree, or the highest degree that is customary in the discipline, and have all of the qualifications of Professor;
- II. have achieved a record of continuing distinction in scholarship or creative endeavors in the field;
- III. have demonstrated excellent teaching ability and shown continuing active engagement with students in and outside the classroom;
- IV. have a good record of continuing evidence of relevant and effective professional service and demonstrated an ability for continuing achievement in this area;
- V. have had at least ten years of full-time teaching experience at a college or university, including at least five of those years at the rank of Associate Professor. He/she also have been promoted to the rank of professor at a college or university where the promotion regulations are comparable to those of AAU.

♦ Qualifications of Faculty Teaching in the MBA Program

Faculty members who teach in the MBA Program must have the following qualifications:

- I. the rank of full professor or associate professor;
- II. a record of distinction in scholarship and/or creative endeavor in the specialization;
- III. a demonstrated excellent teaching ability at the graduate level;
- IV. practical experience in industry or other businesses is highly preferred.

Assistant Professors Teaching in the MBA Program

Assistant Professors may teach in the MBA program if they have:

- I. taught similar courses at the undergraduate level for at least two years;
- II. published at least one article in a refereed journal;
- III. received the approval of the Dean of the College of Business Administration.

♦ Full-time Faculty Members

The full-time faculty ranks are: instructor, assistant professor, associate professor and professor. Appointment to any rank is made according to regulations for recruitment. A faculty contract may be renewed, on the basis of a rolling contract.

♦ Visiting Faculty Members

A visiting faculty member may be a distinguished faculty member who is on leave from another college or university, or from a comparable educational or research institution. Appointment to this rank is either on a semester-by-semester basis, or on an annual basis. A visiting faculty member can be a visiting professor, a visiting associate professor, or a visiting assistant professor. The same qualifications and procedures shall apply for visiting faculty members as per the initial requirements for full-time faculty ranks. Recommendations for the reappointment of a visiting faculty member shall be made by the relevant college Dean to the University President. A visiting faculty appointment may not be renewed for more than two consecutive years. A visiting faculty member is entitled to specific resources and access to specific facilities at the university as determined by the Dean of the college to which s/he has been appointed.

♦ Credentials and Documents to be Presented by Newly Appointed Faculty Members

Before arriving in the UAE, a faculty member who has been recruited must authenticate the following documents:

- I. Doctorate and Master's degree certificates;
- II. official transcripts;
- III. marriage certificate (should the faculty member be married);
- IV. birth certificate(s) of any accompanying children;
- V. school transfer documents (for any accompanying children).

These documents must be authenticated by:

- I. the Ministry of Foreign Affairs of the country of issuance (or the US State Department), and
- II. the UAE Embassy in the country of issuance.

The following documents are required by the HR Unit to process a new faculty member's UAE residence- and work visa:

- I. a photocopy of the faculty member's passport (and any other accompanying family member's passport) by mail or email, and
- II. one color passport-sized photograph for each person who is traveling to the UAE.

Documents That are Needed upon Arrival to the UAE

The newly-recruited faculty member is requested to submit the following documents to the AAU HR Unit:

- I. the original degree certificate(s) (this will be returned to candidate);
- II. the authenticated documents as listed above;
- III. photocopies of the faculty member's passport and of any accompanying family members (spouse and children);
- IV. six passport-sized photographs of the faculty member and any accompanying family members;
- V. official letter(s) of teaching experience.

♦ 6. d. Faculty Orientation**Arriving at AAU**

Newly-recruited faculty members are received by an AAU representative at the airport in the UAE (for example, Dubai or Abu Dhabi). Faculty members are thus advised to send the information about the date and time of arrival and flight number to the HR Unit as soon as this information is known.

A newly-recruited faculty member is entitled to six nights of accommodation at a hotel in Al Ain or Abu Dhabi. During the hotel stay, the new faculty member is expected to rent a residence and provide attested tenancy contract to HR unit. A furniture allowance is paid to the faculty member during the first two weeks of arrival so that the faculty member can buy furniture.

Further, orientation is meant to provide newly-appointed faculty with an overview of the college and the curriculum while introducing the new faculty members to support services available on campus. Additionally, the evaluation, responsibilities and benefits of new faculty are conveyed to him/her. New faculty members are introduced at college and department meetings allowing for current faculty and staff to welcome its newest members.

During the first week of arrival, new faculty members are expected to complete the following:

- I. Undergo a routine medical exam;
- II. Apply for Emirates ID.
- III. Open a bank account.

♦ 6. e. Probationary Period

The first six months of a faculty member's employment at AAU are considered probationary.

◆ 6. f. Faculty Member Evaluation

Introduction:

At the beginning of the fall semester, each faculty member receives a form that constitutes his/her annual plan of performance in the three areas of academic activity: teaching, research, and community engagement. The form specifies the components of each performance area and the rubrics by which they are evaluated. Faculty members submit their annual plan to the Department Head or Dean within two weeks from receiving the annual plan form.

A month before the end of the academic year, faculty members are required to submit a record of their actual performance to the Department Head who conducts evaluation of the faculty member's performance and submits it to the Dean for final assessment.

Faculty members keep documented evidence of their academic performance in the Instructor's Portfolio which should be continuously updated throughout each semester.

During the academic year, faculty members are expected to be involved in the following activities: teaching, research, and university and community service. These activities reflect the faculty's contribution to the department, college and university. The significance of faculty participation in each of the above mentioned activities may vary from one activity to another. The total contribution in all activities, however, will be used to assess faculty overall performance.

In appreciation of distinguished research activities and as a gesture to motivate faculty members to be more involved in research projects of distinguished quality, once a year, AAU reviews the research submitted by faculty members from all AAU colleges and departments. Awards are presented to faculty members with outstanding research during the previous year. Selection criteria include research significance and journal ranking.

Contract Renewal

According to AAU's comprehensive evaluation process, the faculty member is evaluated by the students, Department Head, and College Dean. While students assess the faculty member's teaching performance, evaluations written by the Department Head and the College Dean have a more comprehensive and detailed scope where they assess the faculty member's teaching, serving at committees of different levels, university and community service, as well as research activities.

Based on the overall performance evaluation, AAU makes the decision whether or not to renew the faculty member's contract.

Faculty Member's Annual Self Report

Academic Year:

Name:

Department:

College:

Faculty Member's Specialization:

The Faculty Member's Annual Self Report is provided as an opportunity for each faculty member to furnish a descriptive summary of his/her professional activities and contribution to Al Ain University. Please answer the following questions, and return this document to your Head/Dean/Director by (DATE)

1. Effective Instruction

1.1. Describe any special endeavors (e.g. developed a new course, prepared a lab manual, utilized the IT platform or used new instructional strategy) which you have made to improve your teaching proficiency.

1.2. Confirm your completion of courses and faculty portfolios.

.....

.....

1.3. Describe your assessment of your student evaluation.

.....

.....

1.4. Describe your assessment of your course grade profiles and their distribution.

.....

.....

2. Research and Scholarship

2.1. Describe your scholarly research and professional activities (e.g. publications, papers presented, research projects and conferences attended) for the past year.

.....

.....

3. University and Community Engagement

3.1. Describe your service contributions to the university (e.g. administrative responsibilities, committee memberships, commitment to working- and office hours, and student advisement).

.....

.....

3.2. Describe your service contributions to the local community (e.g. talks, forums, seminars, training programs, newspaper articles, and consultations).

.....

.....

.....

.....

Faculty Member Evaluation Form
(completed by Dept. Head/Deputy Dean/ College Dean)

Academic Year:

Name:

Department:

College:

Faculty Member's Specialization:

No	Statement	Rating				
		Poor 1	Average 2	Good 3	Very Good 4	Excellent 5
1	Treats colleagues at department, college, and university with respect					
2	Treats students in compliance with academic and educational ethics					
3	Commits to attending department council meetings					
4	Commits to class times					
5	Gives exams on time					
6	Follows applicable course description					
7	Commits to office hours					
8	Gives exam results to students on time					
9	Commits to exam invigilating timetable					
10	Adheres to graduation projects' defense timetable (if applicable)					
11	Takes part in the AAU graduation ceremony					
12	Delivers seminars and presentations at AAU as well as outside					
13	Contributes to enriching AAU library with specialized books					
14	Complies with tasks assigned by the department, college, and university					
15	Updates course portfolios in accordance with the CAA standards					
16	Publishes refereed research papers (attach relevant report)					
17	Participates in scientific conferences at AAU (if applicable) (attach relevant report)					
18	Participates in external scientific conferences (attach relevant report)					
19	Publishes scientific books (attach relevant report)					
20	Takes part in community engagement activities (attach relevant report)					
Total						
Mark for each rating						
Overall Mark and Rating						

Department Head

Deputy Dean

College Dean

Annual Faculty Evaluation of the Dean/Deputy Dean **(Completed by the Faculty Member)**

Academic Year:

Dean's / Deputy Dean's Name:

College:

The aim of this evaluation is to obtain feedback on your Dean's performance. Please place a tick (✓) in the box that corresponds to your view on each of the following items:

		Poor → Excellent				
		1	2	3	4	5
1	The Dean possesses a thorough knowledge of higher education issues					
2	The Dean demonstrates a collegial leadership style and a highly communicative relationship with faculty, students and staff					
3	The Dean exhibits highly developed interpersonal relations and communication skills					
4	The Dean is able to effectively articulate the vision, mission and goals of AAU					
5	The Dean is able to select, recruit and retain faculty and staff who are committed to excellence and diversity					
6	The Dean understands the importance of AAU to UAE society					
7	The Dean is able to interact well with community members					
8	The Dean is self confident					
9	The Dean is worthy of respect					
10	The Dean is approachable					
11	The Dean is able to admit and correct mistakes					
12	The Dean possesses a keen awareness of the value of competition and cooperation					
13	The Dean treats faculty members and staff fairly and equally					
14	The Dean is able to attract and retain outstanding faculty, students, administrators and staff					
15	The Dean is able to identify, anticipate, appropriately prevent, manage, and confront conflicts and other difficult situations					
16	The Dean demonstrates commitment to upholding academic values					
17	The Dean seeks the opinion and meets the needs of the students					
18	The Dean seeks the opinion and meets the needs of faculty					
19	The Dean seeks the opinion and meets the needs of staff					
20	The Dean demonstrates an ability to develop and implement strategic long- range plans					
	Total					
	Mark for each rating					
	Overall Mark and Rating					

Comments:.....

♦ 6. g. Supervision and Organizational Issues Affecting Faculty Members

Al Ain University identifies the existence of several issues that may affect faculty members in different ways. These range from the organizational system to involvement in community engagement. AAU ensures that appropriate measures are put in place in order to overcome any possible challenges. These procedures ensure the high quality of education at AAU which is line with the standards and requirements of the UAE Commission of Academic Accreditation.

Organizational Structure: Al Ain University believes faculty members to be the cornerstone of the academic departments due to their direct relationship with the students who, in turn, are the cornerstone of the academic institution. Accordingly, AAU clearly defines the organization of sub-systems within each college. The transparency, clarity, and applicability of AAU's organizational system ensure a smooth and continuous flow of information through all relevant channels. In addition, with administrative decisions affecting faculty members' academic tasks, it is vital for faculty members to provide AAU's administration with feedback. This will ensure making better, sound administrative decisions.

Coordination between Campuses: With campuses in Al Ain as well as Abu Dhabi, AAU faces another administrative challenge that affects faculty members: coordination between campuses. Again, AAU's organizational chart which includes a clear applicable structure that defines the link between campuses ensures bridging the gap that may come up between the two campuses making faculty members' communication and coordination processes easier and more feasible.

Faculty Supervision of Students: Faculty members at AAU are expected to supervise students during their practicum as well as supervise graduation projects. These supervisory activities can enrich the faculty member's experience on many levels such as providing them with feedback on the effectiveness of the programs and their delivery, offering them the opportunity to stay in touch with recent developments in their fields, as well as enhance their research capabilities.

University Supervision of Faculty Members: AAU is keen on providing high quality education and believes that proper supervision will directly reflect on the faculty member's academic performance. Highly qualified supervisors are appointed with full awareness of their duties and responsibilities as well as full commitment to the work ethics. With administrative decisions affecting the performance of the faculty members, qualified supervision ensures the fulfillment of AAU's vision and mission by faculty members through appropriate documentation of course and instructor portfolios in addition to record keeping.

Interaction with the Local, Regional, and International Community:

Al Ain University recognizes that the more the University is involved with the academic and professional organizations and institutions locally, regionally, and internationally, the more positively this will reflect on the performance of the faculty in terms of augmenting their practice and supplementing the data available for their research activities. The University's active involvement with other organizations, institutions and the community will help faculty members to better identify the needs of the community; hence, allowing them to contribute to the development of the UAE.

♦ 6. h. Professional Development

The professional development of all faculty members is essential in the AAU's quest for academic excellence. The active development of faculty members is needed to accomplish academic progress. Such development can be attained through active participation in activities such as the following:

- I. workshops
- II. seminars
- III. research
- IV. lectures
- V. summer courses
- VI. community activities
- VII. conferences
- VIII. novel applications of instructional technology
- IX. innovative projects for curriculum development

Applying for a Professional Development Fund

The formal procedure for a faculty member to participate in any of these activities is as follows:

- I. The faculty member submits an application to his/her department to get approval for the activity (see the relevant application form).
- II. Approval from the College Council is also required before the faculty member receives final approval.
- III. Approval from the University President.

Faculty Development Fund Proposal Guidelines**• General**

The AAU Faculty Development Fund (FDF) is administered as a competitive grants program. FDF awards are designed to help faculty conduct their proposed project. Submissions are limited to one proposal per principal investigator (or co-principal investigator) per competition. Funding of eligible projects may be requested.

• Eligibility

A full-time faculty member may submit proposals, regardless of the number of previous FDF grants that they may have been awarded in the past, with the following restrictions applying:

- I. An individual may not receive more than one grant in any one-year period and may not hold two FDF grants concurrently.
- II. In order for an individual to receive subsequent FDF grants, the proposals must represent a significantly new project, and the reporting requirements for the prior award must have been met.

Although the focus of the program is on individual faculty development, two or more eligible faculty members may submit a collaborative proposal, with the following restrictions applying:

- I. One participant must be designated as the project director, and that person may not reapply to this grant program for a one-year period after an award is given.
- II. Other members of a group award may reapply within the one-year period, but priority will be given to faculty who have not received a previous award, either individually or as a member of a collaborative group.
- III. A subsequent award will not be made to any member of a group award for work that is in any way related to the original project, even though a different faculty member is designated as the project director.

• Proposal Format

A complete proposal consists of the following four sections, in the order listed below. All figures and tables must be included in the eight-page proposal. Copies of surveys, tests, evaluation forms, or similar items, may be included as appendices, but are limited to five pages.

- I. A 'Cover Sheet' containing a 100-200 word abstract of the project and the signature of the principal investigator's Department Head.
- II. 'Project Description' (not to exceed eight pages). The content of this section will vary, depending on the nature of the project and the academic field of the applicant. Typically, the description will include a discussion of the nature of the problem to be investigated and its significance; the results of preliminary investigations, if any; goals and objectives; methodology, project design, or activities; and literature cited or bibliography. Also include plans for continuation of the grant activity.
- III. 'Budget Amount and Budget Description' of your budget needs.
- IV. 'Curriculum Vitae' of a maximum length of two pages.
- V. Proposals that are late, incomplete, or in an incorrect format will not be reviewed.

Participating in Scientific Conferences

First: Regulations for Conference Participation

- I. The faculty member should have worked at AAU for at least one year.
- II. AAU's name to appear along with the faculty member's name (researcher).
- III. The faculty member needs to apply as a sole author for a paper, or to be the main researcher, which is accepted by the conference committee. In case the main researcher cannot attend, only the second author is allowed to participate provided a written approval from the main researcher is available.
- IV. The faculty member needs to have published (accepted for publication) two research papers in scientific refereed journals during his/her course of work at AAU and carrying AAU's name.
- V. The faculty member who has finished one year of service at AAU needs to have published one research paper during his/her course of work at AAU and carrying AAU's name.
- VI. The research paper submitted to the conference must not have been presented at previous conferences or previously published in refereed journals.
- VII. The subject of the paper needs to fall within the conference topics.
- VIII. The faculty member cannot participate in an overseas conference (outside UAE) more than once in an academic year.
- IX. The number of participants for a single conference cannot be more than two from the same academic department with priority given to date of acceptance of each paper.
- X. The researcher should present a report on the conference proceedings and recommendations to the College Dean according to the applicable format.
- XI. The application needs to be submitted two months before the conference.
- XII. The conference must not be held during the final exams period.
- XIII. The AAU President decides on cases and/or points not mentioned above.

Second: Required Documents for Conference Participation

- I. Recommendation letter from the College Dean to the AAU President to sponsor the faculty member at the conference.
- II. Recommendation letter from the Department Head to the College Dean to sponsor the faculty member at the conference in question.

- III. An application from the faculty member to the Department Head requesting approval to participate in a scientific conference.
- IV. Letter of acceptance from the conference to present the paper in the proceedings.
- V. Information about the conference (Leaflet, etc.).
- VI. The research paper to be presented at the conference.
- VII. List of the papers published, or accepted for publication, written by the faculty member during his/her course of work at AAU, carrying AAU's name (Form R4).
- VIII. List of conferences in which the faculty member participated during his/her course of work at AAU, sponsored by AAU (Form R5).
- IX. Registration fees receipt (if applicable).
- X. Make up classes timetable duly signed by the faculty member, Department Head and College Dean.

Third: Expenses for Conference Participation

AAU covers the following expenses:

- I. conference participation fees (if applicable);
- II. a return ticket to the place of the conference (economy);
- III. applicable per diems; 1000 AED per day for North America, Europe, Japan, South Korea, Australia, New Zealand, and Hong Kong; 800 AED per day for the rest of the world.

The maximum amount should not exceed 10000 AED for North America, Europe, Japan, South Korea, Australia, New Zealand, and Hong Kong, and it should not exceed 8000 AED for the rest of the world.

***Scientific Research Support Fund (SRSF)**

AAU has adopted the "Scientific Research Support Fund (SRSF)" as one of its key principle strategies to contribute to a productive society through the enhancement of Research and Development (R&D). The SRSF main goal is to fund scientific R&D projects of excellence -within and across all disciplines- that, will build capacity, expertise and develop collaborative relationships for AAU researchers. This will definitely invest in the development of a highly skilled, highly productive, and competitive research community and enable AAU researchers to compete nationally and internationally for other competitive research funding.

♦ 6. i. Types of Leaves

I. Annual Leave:

Faculty members are entitled to a fifty-six-day annual leave which includes the summer leave as well as the winter break.

II. Maternity Leave:

Faculty members are entitled to a forty-five-day maternity leave in accordance with the provisions of the UAE Labor Law.

III. Training Leave:

In support of its strategy for development, AAU encourages faculty members' involvement in training. The duration of the leave depends on the nature, length, and location of training course.

IV. Emergency Leave:

Faculty members are granted an emergency leave due to extenuating circumstances such as the death of a first degree relative.

V. Hajj Leave:

Faculty members are granted a paid leave for one week for Hajj. The faculty member is entitled to Hajj leave once during his/her employment at AAU.

VI. Sick Leave:

In accordance with the provisions of the UAE Labor Law, AAU faculty members are granted a sick leave of no more than ninety days, consecutive or intermittent, for each year of service. The faculty member shall be required to submit a medical report issued by a hospital. The sick leave will be divided as follows:

- a) Fifteen days – Paid
- b) Thirty days – Half-paid
- c) The rest – Unpaid

All leaves, except for the annual and maternity leaves, are subject to the provisions of the substitute class schedule. All classes cancelled must be made up.

♦ 6. j. Administration of Grants Received

Al Ain University realizes the great responsibilities entailed with receiving a grant. Therefore, it takes all possible measures to ensure that the grant is utilized in accordance with the contract governing the agreement. In addition, the grant is to be administered in the method stipulated in the agreement.

Faculty members and colleges involved with grants are required to prepare interim and end of project reports explaining the research conducted under the umbrella of the grant as well as proof of expenses.

♦ **6. k. Consultancy or Outside Employment**

Faculty members at AAU are expected to dedicate their time and effort to their teaching and scholarly activities at AAU. Nevertheless, AAU fosters the principles of community service and cooperation with professional and scholarly organizations. Notwithstanding that engaging in consulting activities which are not in conflict with AAU's interest is not prohibited, a faculty member who wishes to perform any form of outside work or consultancy, whether paid or unpaid, must obtain a written approval from the AAU President prior to initiating that work or activity.

(7) BENEFITS AND RESTITUTION FOR DECEASED FACULTY MEMBERS

◆ Housing Allowance

The heirs of a deceased faculty member will not be asked to return to the university any housing allowances they have already received and made use of. However, should the heirs choose to terminate the contract with the landlord before it expires, then they are required to return to the university any money they may receive from the landlord.

◆ Furniture Allowance

The heirs of a deceased faculty member are entitled to the exemptions specified below:

- I. 40% of the furniture allowance may be kept by the heirs, should the faculty member's death occur during the first year of his/her service to the university
- II. 70% of the furniture allowance may be kept, should the death occur during the second year
- III. 90% of the furniture allowance may be kept, should death occur during the third year
- IV. 100% of the furniture allowance may be kept, should death occur during the fourth year

◆ Transportation of the Deceased's Remains

The university shall pay the expenses of transferring the remains of a deceased faculty member to the faculty member's country of origin in addition to travel expenses of one person to accompany the remains.

The university shall pay for the return tickets of the faculty member's surviving family members as per the terms of the contract.

The university shall honor all the deceased faculty member's rights stated in the contract including the end of service benefits.

◆ Restitution

The family who survives a deceased faculty member are entitled to the following:

- I. The salary for the whole month during which death occurred.
- II. The faculty member's heirs are entitled to a maximum restitution of three gross monthly salaries.
- III. Should a faculty member be physically incapacitated and consequently his/her contract is terminated, the faculty member's heirs are entitled to a restitution of three gross monthly salaries in addition to any other benefits stated in the employment contract

(8) FACULTY PROMOTION POLICIES AND PROCEDURES

♦ Promotion Policies

AAU faculty members are promoted in accordance with the rules stated below which include performance in the areas of teaching, university and community engagement, and research.

The faculty member's teaching performance is evaluated periodically by the students, Department Head, Deputy Dean, and College Dean. The faculty's commitment to the syllabus, creativity, and innovative teaching methods plays a great role in the evaluation. Moreover, the services the faculty member renders to both the University and the community are monitored. The level of the involvement and the type of engagement contribute in the assessment. Finally, the faculty member's scholarly activity remains the most important factor in the promotion process. A faculty member applying for promotion needs to meet the requirements of research and publication as set by AAU.

A faculty member shall only be entitled to apply for promotion after the passage of two years from his/her appointment as a full-time faculty member in AAU. Applications for promotion can be submitted during the first and second semesters. The college dean, in consultation with the academic department, should decide whether to proceed with the application within one month. Given that the committee decided to proceed with the application, the application should be forwarded to the University Appointment and Promotion Committee.

A faculty member applying for promotion needs to obtain a rating of at least (good) in both the teaching and community service evaluation reports prior to sending the papers to the external referees.

All papers submitted as part of the application for promotion are to be sent to three external referees. In order for the applicant to be considered for promotion, he/she must receive:

- A "strong" recommendation from two out of the three referees to be promoted to Associate Professor.
- A "strong" recommendation from all three external referees to be promoted to Professor.

Promotion to the rank of associate professor

In order to be promoted to the rank of associate professor, the candidate must fulfill the following conditions:

- I. He/she should have served a minimum of five years as a full time assistant professor at AAU or any other accredited college or university, provided that the last two years of his /her service are at AAU. The faculty member may apply for promotion after having served for four years and six months instead of five, provided he/she meets the other requirements.

- II. He/she must have research work published or accepted for publication in refereed journals while the candidate was an assistant professor.
- III. He/she must present a minimum of six scientific papers. At least four of the papers should have been 'published' while the other two can be 'accepted for publication'.
- IV. Two of the published articles should be published in a first order journal as defined by the university.
- V. The candidate should be the sole author of at least two of the submitted journal article publications.
- VI. At least three of the papers must be published, or accepted for publication, during the faculty's work at AAU with the University's name appearing on each of the papers.

Promotion to the rank of Professor

In order to be promoted to the rank of professor, the candidate must fulfill the following conditions:

- I. He/she must have served a minimum of five years as a full time associate professor at AAU or any other accredited college or university, provided that the last two years of his /her service are at AAU. The faculty member may apply for promotion after having served for four years and six months instead of five, provided he/she meets the other requirements.
- II. He/she have research work published or accepted for publication in refereed journals while the candidate was an associate professor.
- III. He/she must present a minimum of eight scientific papers. At least five of the papers should have been 'published' while the other three can be 'accepted for publication'. The papers should not have been used in the previous promotion.
- IV. Three of the published articles should be published in first order journals as defined by the university.
- V. The candidate should be the sole author of at least two of the submitted journal article publications.
- VI. At least four of the papers must be published, or accepted for publication, during the faculty's work at AAU with the University's name appearing on each of the papers.

Required Documents for Academic Promotion

FIRST: Documents required by the applicant (Faculty member):

- I. Cover letter to the Department Head applying for promotion. For faculty members with less than five years of service with AAU, they need submit a letter of service, duly documented, from his/her previous job.
- II. A completed application including the faculty member's information (the form can be obtained for the College Deanship).
- III. A declaration that the papers submitted as part of the application for promotion are not based on the MA thesis or PhD dissertation.
- IV. A letter that states the general and specific disciplines of the faculty member.
- V. Detailed, comprehensive curriculum vitae.

- VI. Brief curriculum vitae.
- VII. A table listing the publications by date of publication.
- VIII. Letter of acceptance for each paper accepted for publication.
- IX. Five copies of each academic work presented as part of the promotion application.
- X. In addition to the above, the faculty member applying to be promoted to the rank of Professor needs to submit the following:
 - a) the Deans' Council's decision to be promoted to Associate Professor;
 - b) a list of the scientific papers based on which he/she received the promotion to Associate Professor;
 - c) a declaration that all work submitted for promotion to the rank of Professor has been published after being promoted to Associate Professor.

SECOND: Documents required by the Department Head:

- I. The minutes of the Department Council's meeting which should include:
 - a) a paragraph indicating that the Department Council has discussed the application and has decided that the application has met the requirements in accordance with the applicable promotion regulations at AAU;
 - b) a paragraph indicating forming a scientific committee whose members are of a higher rank than the applicant to look into the scientific papers submitted for promotion.
- II. The decision of the scientific committee (confidential).
- III. An official letter from the Department Head to the College Dean explaining the Department Council's recommendation to proceed with the promotion procedures listing the attached documents.

THIRD: Documents required by the College Dean:

- I. The minutes of the College Council's meeting which should include:
 - a) a paragraph indicating that the College Council has discussed the application and has decided that the application has met the requirements in accordance with the applicable promotion regulations at AAU;
 - b) a paragraph indicating forming a scientific committee whose members are of a higher rank than the applicant to look into the scientific papers submitted for promotion.
- II. The decision of the scientific committee (confidential).
- III. An official letter from the College Dean to the AAU President regarding the promotion application including the date and number of the College Council's meeting as well as the College Council's recommendation to proceed with the promotion procedure. The letter should also include the applicant's name, discipline, and attached documents.

Report (Teaching, University, and Community Service) for the promotion of faculty members

The applicant's details:

Full name	
Department	
College	
Specific discipline	
University where the last degree was obtained	
Country	
Year of graduation	
The rank of appointment at AAU	
Date of appointment	
Current rank	
Date of receiving current rank	
Signature	
Date	

Note:

Please briefly state your opinion on each of the following items, and then rate them accordingly.
(Excellent, Very Good, Good, Satisfactory, Poor)

FIRST: Teaching

No.	Statement	Excellent	Very Good	Good	Satisfactory	Poor
1	Teaching all courses assigned by the department in the area of specialization					
2	Accommodating the learning objective and outcomes within the curriculum					
3	Diversifying teaching methods					
4	Directing students towards various readings and encouraging them to conduct practical and applied research					
5	Effective participation in the students' academic, professional, and personal advising					
6	Supervision of students' papers and projects					
7	Development of assessment methods based on thinking and reasoning rather than spoon feeding					
8	Development of study plans for different departments at the college					
9	Contribution to the development of new programs at the college to meet the community's needs					
10	Participation in MA and PhD dissertation discussions internally and externally					
11. A	Commitment to working hours and office hours					
11. B	Commitment to times of lectures and exams					
12. A	Concern for self-development professionally and academically					
12. B	Keeping up with recent developments and employing them in the academic performance					
	Overall rating					

SECOND: University and College Service

No.	Statement	Excellent	Very Good	Good	Satisfactory	Poor
1	Participation in department and college committees					
2	Participation in the University committees as well as the social and scientific activities					
3	Performance of administrative duties for the University					
4	Participation in technical or preparatory committees to scientific conferences at the University					
5	Supervising graduate theses					
6	Participation in refereeing scientific research internally or externally					
7	Receiving a local or an international award					
8	Conducting scientific work or research through which he/she renders a service to the University					
9	Participation in the editorial board of a scientific journal					
10	Participation in a panel for a scientific award					
	Overall rating					

THIRD: Community Engagement

No.	Statement	Excellent	Very Good	Good	Satisfactory	Poor
1	Participation in seminars and cultural events					
2	Giving lectures outside the University to spread awareness in the community					
3	Providing consultation or advisory services within the range of Community Engagement					
4	Conducting a study commissioned by the University or other institutions to benefit the community					
5	Communication with the community through field visits conducted by the faculty member and students					
6	Participation in different community religious, national, social, or other events					
7	Conducting training courses aimed at human resource development in the community					
8	Conducting different on-campus and off-campus workshops targeted at the members of the community					
9	Presenting the results of studies and research to the community to take advantage of them					
10	Providing individuals as well as private and public institutions with information that helps the development of certain issues					
11	Discussion of a problem in the community which the University can help solve					
12	Participation in voluntary organizations in the community					
	Overall rating					

FOURTH: Other Characteristics

No.	Statement	Excellent	Very Good	Good	Satisfactory	Poor
1	Establishing successful, positive relations with the students					
2	Establishing professional and social relations with colleagues at the college and university levels					
3	Communication and intellectual dialog with colleagues at the University					
4	Acceptance of other views; possessing leadership qualities					
5	Compliance with the University's regulations and their implementation					
6	Maintaining the University's reputation and scientific status					
7	Initiative and the ability to present new ideas					
	Overall rating					

[illegible]

College Dean

Name: _____

Rank: _____

Signature: _____

Date: _____

* Research (Publications)

- I. Research published or accepted for publication in refereed journals.
- II. Refereed research work submitted to refereed conferences or specialized scientific symposia provided it is published in full in conference proceedings, or accepted for publication. Only one paper will be accepted for each rank.
- III. Refereed research published or accepted for publication, by specialized university research centers. Only one paper of this item will be accepted for each rank.
- IV. Refereed university textbooks and reference books. Only one book of this item will be accepted for each rank.
- V. Refereed editions of rare books. Only one book of this item will be accepted for each rank.
- VI. Refereed translations of specialized books. Only one book of this item will be accepted for each rank.
- VII. Inventions and patents of creative products from patent offices approved by the council for academic affairs.
- VIII. Creative work in accordance with the rules set by the university council.

Any item of the above must not be taken from the candidate's Master's thesis, Doctoral dissertation, or the researcher's previous publications.

* Scientific Research Incentives System

AAU has adopted new incentives system in order to encourage faculty members to continuously publish high quality researches in eminent journals. These incentives include a one time, monetary award for each publication and a salary raise that varies in accordance with the rank of the journal.

Journals ranked as A, A* are the most prominent, and are with the highest incentives. However, journals ranked as B and C should be clearly indexed in outstanding databases (e.g Scopus, ISI, etc.) and / or issued by leading publisher like Elsevier, IEEE, Wiley, etc.

(9) JOB DESCRIPTION FOR FACULTY MEMBERS

♦ Summary of Position:

Faculty members at AAU are responsible for the planning, preparation, delivery, and coordination of courses. The minimum related activities required include teaching, academic advising, serving at college as well as university committees, engaging in community service, and participating in national, regional, and international professional organizations. In addition, the faculty member performs all other duties assigned by the Department Head, College Dean, Vice President, or President.

♦ Reporting:

A faculty member at AAU reports directly to the relevant Department Head.

♦ Major Responsibilities:

The major responsibilities of the faculty members at AAU include, but are not limited to, the following areas:

- Teaching
- Student advising
- Taking part in committees on different levels
- Involvement in community engagement
- Conducting research
- Joining professional associations

For a detailed list of duties and responsibilities, please refer to (Section 2).

♦ Performance Evaluation:

Faculty members shall be evaluated annually on the basis of teaching, university and community service, and research activities. The Faculty Member Evaluation section details the criteria and procedure for performance evaluation (Refer to Section 6.f.).

♦ Qualifications:

The qualifications for faculty members shall be in accordance with the applicable requirements specified by the AAU which are in line with the standards and regulations of the Commission of Academic Accreditation (Refer to Section 6.c.).

(10) QUALIFICATIONS FOR PART-TIME FACULTY

In support of its mission to providing quality education, and in line with its policies which stipulate recruiting top faculty members, Al Ain University applies the same recruiting policies to part-timers as those for full time faculty members. Part-time faculty members joining AAU are required to hold the same qualifications as the full time faculty members.

They are also expected to present the same documents:

- an updated, detailed CV;
- copies of the Doctoral, Masters, and Bachelor degrees;
- copies of the transcript for the Doctoral, Masters, and Bachelor degrees;
- certificate equivalence.

(11) COMPENSATION AND BENEFITS

AAU adopts its own system of compensation and benefits which is mainly based on the faculty members' academic ranks: Professor, Associate Professor, Assistant Professor, and Instructor. In addition, the University looks into the rarity of the specialization and the faculty member's experience. It also takes into consideration any distinguished accomplishments the faculty member may have achieved.

Notwithstanding the compensation system, AAU gives special attention to incentives. Faculty members are encouraged to engage in scientific research and apply for promotion which will reflect on their financial status.

(12) SUMMER EMPLOYMENT

Teaching during the summer is optional for faculty members at AAU. Faculty members can choose whether or not to teach in the summer. A faculty member who decides to teach in the summer can teach up to six credit hours.

It is noteworthy that teaching in the summer is considered overtime where the faulty member receives remuneration per credit hour for the hours he/she teaches in addition to his/her regular monthly salary for those weeks.

(13) DISCIPLINARY PROCEDURES AND APPEALS

AAU is committed to professional honesty and integrity, and it also recognizes the need for fair and adequate investigation of alleged violations of rules and policies relating to the conduct of AAU faculty members.

♦ Discipline

Discipline means any sanction except dismissal that may be imposed by the administration against a faculty member for misconduct. Sanctions may extend from mild to severe and from informal to formal. In cases of employment offenses or misconduct, a range of sanctions/measures short of dismissal should be available. This range of sanctions from minor to major constitutes progressive discipline. However, the imposition of any sanction must be regarded as a serious disciplinary step and even a first offense may warrant the most extreme penalty.

Any sanctions/measures that are imposed by the university must be selected to meet the severity, the frequency, and/or flagrant nature of the infraction. Appropriate sanctions may include:

- I. an oral reprimand
- II. a written reprimand
- III. reassignment to other duties
- IV. restitution
- V. placement of the faculty member under the direct supervision of the Head/Dean with a specific plan for remediation, for a specific period of time
- VI. loss of summer teaching employment for a faculty member on a contract of less than twelve months
- VII. loss of perquisites or of privileges of rank for a stated period, not to exceed two years
- VIII. reduction in contract period
- IX. dismissal

♦ Misconduct

Misconduct may include the following:

- I. neglect of duty or responsibilities, including unauthorized absence, which impairs teaching, research or other normal and expected services to the university
- II. failure to perform the terms of employment for reasons other than documented illness or injury
- III. willful violation of the rules and regulations of the university
- IV. violation of the ethics of the academic profession
- V. action(s) that results in preventing other members of the university community from fulfilling their responsibilities, or actions that create a clear and direct danger to members of the university community
- VI. conduct, professional or personal, involving moral turpitude

♦ Disciplinary procedures

The following procedures must be followed when a faculty member is alleged to have committed an employment offense or misconduct. If, however, the Head regards the alleged employment offense or misconduct as one that warrants only an oral reprimand, the Head may follow these procedures at his/her discretion.

The procedures listed below are to be followed in sequence:

- I. The Head notifies the Dean in writing of the alleged offense or misconduct. This notification includes the policies/procedures which may have been violated, with supporting evidence.
- II. The Dean notifies the University President. This notification includes the policies/procedures which may have been violated with supporting evidence.
- III. The Head, Dean, and University President consult the legal advisor of the university, who verifies all the facts related to the alleged offense or misconduct.
- IV. The Head notifies the faculty member in writing of the alleged offense or misconduct, clearly identifying the policies/procedures which may have been violated with supporting evidence.
- V. The faculty member is given an opportunity to respond both orally and in writing to the allegations and to any evidence prior to any determination of culpability.
- VI. If the faculty member chooses to respond, the response must normally be made within ten working days to the Head.
- VII. The Head reviews the faculty member's response (if any was made), his/her past performance- and employment record, as well as any additional information prior to determining if a sanction is warranted.

- VIII. Normally, within ten working days after receiving the faculty member's response, the Head notifies the Dean of the response and includes his/her recommendations regarding the alleged offense or misconduct. If warranted, the Head's recommendation may include an appropriate sanction. Resolution of the matter may occur at this point.
- IX. The Dean consults with the University President and the university's legal advisor, then notifies the faculty member and the Head of the sanction (if any) to be imposed. Notification is normally given within fifteen (15) working days.
- X. The faculty member is given ten days to respond both orally and in writing to the Dean before any sanction(s) becomes effective. The response should indicate any intention to appeal the recommended sanction(s) to the grievance committee.

When a Department Head is alleged to have committed an employment offense or misconduct, the Dean will follow the above procedures fulfilling the Head's duties and University President will act in the Dean's role.

When a Dean is alleged to have committed an employment offense or misconduct, the University President will follow the above procedures fulfilling the both the Department Head's duties and the Dean's roles.

Depending upon the severity of the alleged offense or misconduct, the University President or the President's designee may immediately place a faculty member on leave with pay, pending an investigation of alleged misconduct or other employment offense. The leave pending investigation shall commence immediately upon the University President or designee providing the faculty member with a written notice of the reasons. The leave shall be with pay, with no reduction of accrued leave.

If, as a result of the investigation, the faculty member is to be suspended or his/her contract terminated, written notice shall be given to the faculty member. In all cases, the faculty member will be given an opportunity to respond within ten working days before any sanction(s) become(s) effective. The response may be made both orally and in writing to all allegations and evidence.

♦ Appeal of Recommended Sanctions

A faculty member may appeal the Dean's recommended sanctions to the Grievance Committee. Resolution of the matter may occur at this point and the committee may recommend acceptance, modification, or rejection of the findings and/or sanctions.

♦ Faculty Grievance Procedures

Grievances by a faculty member against the university or its employees are governed by this procedure. A faculty member should first work informally with administrators (the University President, Deans, and Department Heads) to resolve the matter. Experience indicates that almost all cases can be resolved informally. The process should reflect mutual trust, respect, collegiality, and cooperation.

The grievances governed by this procedure may include the following:

- I. unlawful discrimination on the basis of age, religion, race, or national origin
- II. salaries
- III. resource support
- IV. teaching assignments
- V. office assignments
- VI. leave of absence applications

♦ Discipline against a Faculty Member Short of Contract Termination

Informal Procedure

A faculty member shall first attempt to resolve the grievance informally with the person whose action is the basis for the grievance. However, if in the faculty member's sole discretion it is not practical to do that, the faculty member shall first attempt to resolve the grievance informally with that person's immediate superior.

Formal Procedure

If the informal procedure does not resolve the grievance, the faculty member may initiate the formal grievance procedure. To do so, the faculty member must submit a written grievance statement to the immediate superior of the person whose action is the basis for the grievance, within 20 days. The grievance statement must include the following:

- I. a concise statement of the grievance
- II. a description of actions taken so far to resolve the grievance
- III. a description of the responses received
- IV. a proposed resolution of the grievance

Upon receiving the grievance statement, the administrator will take the steps he/she deems necessary to investigate and resolve the grievance. The administrator will then give the faculty member a written decision, within a period of ten days.

◆ Appeals

The faculty member may appeal a department Head's decision to the Dean. The faculty member may appeal a Dean's decision (whether an original decision or an appellate decision) to the University President. The faculty member must submit any appeal in writing within two weeks after receiving the decision. Upon receiving the appeal, the administrator will take the steps he/she deems necessary to investigate and resolve the grievance. The administrator will then give the faculty member a written decision, within a period of two weeks.

◆ Confidentiality

Sensitive information disclosed in the proceedings should be kept confidential. Except for simple announcements about the status of the proceedings and similar matters, both the university and the concerned faculty member(s) shall avoid making public statements about the case until the proceedings have been completed.

◆ Exhaustion of Remedies

A faculty member shall not initiate civil litigation or civil administrative remedies against the university or its employees until all the remedies provided by this procedure have been exhausted.

◆ Non-Retaliation

Retaliation by the university or its employees against a faculty member for seeking redress through this procedure is prohibited, and is a separate cause for grievance.

◆ Resignation

Notice of resignation must be made at least three months before the end of the academic year or the contract end. If a faculty member fails to submit his/her resignation within the period stated above, he/she shall pay to the university one month and half of his/her total salary based on recent salary paid.

A faculty member who resigns from the University while under contract must do so in writing to the Dean of the college via the department Head. In all cases, a letter of resignation should be forwarded to the Dean's office. The Dean's office should then forward the resignation letter to the Vice President and to the Human Resources.

♦ Termination of a Contract

Termination or dismissal from the University shall be only for a cause. The cause may be one or more of the following:

- I. unsatisfactory performance
- II. under recommendation of the Disciplinary Committee for serious misconduct
- III. prolonged inability to fulfill his/her duties for medical reasons
- IV. reduction in academic staff caused by:
 - a. financial exigency
 - b. discontinuance
 - c. reduction in the size of the program

In such a case, the faculty member will receive notice of the termination of his/her contract at least three months before the end of his/her contract or before the end of the academic year.

(14) GRADUATE ASSISTANTS

Al Ain University of Science and Technology offers several graduate programs. AAU encourages full time graduate students to apply for teaching assistant positions. As teaching assistants, they will assist some faculty members with several tasks including course preparation, grading, record keeping, and collecting data for research; in turn, the teaching assistants receive financial aid.

(15) POLICIES FOR PART-TIME FACULTY MEMBERS

Below is a list of the policies and procedures that have been adopted by AAU for part-time faculty members:

- I. A part-time faculty member is one whose major employment is not with AAU and whose teaching load is 6 hours or less per semester.
- II. Part-time faculty members are entitled to the professional privileges and compensation accorded to full-time members.
- III. Part time faculty appointments are subject to the university regulations with respect to recruitment of full-time faculty members.
- IV. The qualifications of a part-time faculty member are subject to the same criteria as a full-time faculty member.
- V. Recommendation for a part-time faculty position shall be made by the Department Head or College Dean and is approved by the University President.
- VI. The contract duration for this position is one semester.
- VII. The ratio of part-time faculty members in each academic program should not exceed 25% of the total faculty members.



جامعة العين للعلوم والتكنولوجيا
AL AIN UNIVERSITY OF SCIENCE AND TECHNOLOGY

FACULTY HANDBOOK

2017-2018



Licensed by the
Ministry of Education - Higher Education Affairs



[aaau.uae](https://www.facebook.com/aaau.uae)



[aaau_uae](https://twitter.com/aaau_uae)



[aaau_uae](https://www.instagram.com/aaau_uae)



[aaau_uae](https://www.snapchat.com/add/aaau_uae)



[alainuniversity](https://www.youtube.com/aaainuniversity)

Al Ain Campus

P.O.Box: 64141 Al Ain, UAE

Phone: +971 3 7024888

Fax: +971 3 7024777

Abu Dhabi Campus

P.O.Box: 112612 Abu Dhabi, UAE

Phone: +971 2 6133555

Fax: +971 2 4444304

[aaau.ac.ae](https://www.aau.ac.ae)

[800-2468648](tel:+9712468648)